

NEW BEGINNINGS



DoD Performance Management and Appraisal Program (DPMAP)

Participant Guide



DEPARTMENT OF DEFENSE
DCPAS
Defense Civilian Personnel Advisory Service



DoD Performance Management and Appraisal Program (DPMAP)

Top 10 Things You Need to Know

#10 - All employees covered by the program will be on a single appraisal cycle that is April 1st thru March 31st, with an appraisal effective date of June 1st.

#9 - There are three formal documented face-to-face discussions required under the new program – An initial performance plan meeting, one progress review and a final performance appraisal discussion. Additional performance discussions are highly encouraged throughout the appraisal cycle with a focus on enhanced employee engagement.

#8 - The minimum period of performance is 90-days for an employee to be eligible to receive an appraisal.

#7 - The automated DoD Appraisal tool 'MyPerformance' will be used to manage the appraisal process. Employees and supervisors will use the tool collaboratively. The MyPerformance tool can be accessed through MyBiz prior to rolling into DPMAP.

#6 - The new program includes a "savings provision". This means that an employee that is undergoing a formal Performance Improvement Period (PIP) remains in their current performance management program until the PIP is resolved. Resolution is either the employee successfully completes the PIP and then would convert into DPMAP, or fail the PIP and are removed from federal service, changed to a lower grade or reassigned to another position. If they remain with the Agency after a change to lower grade or reassignment they would then convert into DPMAP.

#5 - DoD Core Values, which form the foundation of the DoD performance culture are: "leadership, professionalism and technical knowledge through dedication to duty, integrity, ethics, honor, courage and loyalty". This aids in developing a common awareness and to reinforcing the individual contribution to the overall success of both the DoD and organization's missions.

#4 - Supervisors *must allow* employees the opportunity to provide input into their performance elements and standards. While employees have the opportunity to provide input into their performance plans, supervisors are responsible for developing the performance elements and standards. Supervisors cannot establish performance elements and standards for team performance, only individual performance. Performance elements and standards must be written at the fully successful level using SMART criteria.



#3 - DPMAP is a 3-tiered performance management program with the rating levels of “Level 5 – Outstanding”, “Level 3 - Fully Successful” and “Level 1 –Unacceptable”. Each performance element will be given a rating that corresponds to these levels. All elements are critical and will not be weighted. The overall rating will be calculated in the MyPerformance tool by adding together the individual ratings for each element and that sum will be divided by the total number of elements. This calculation will be used to determine the final overall rating – Outstanding, Fully Successful or Unacceptable.

Rating Level	Rating Criteria
Level 5 - Outstanding	The average score of all performance element ratings is 4.3 or greater, with no element being rated a “1”, resulting in an overall rating of record that is a “5”.
Level 3 - Fully Successful	The average score of all performance element ratings is less than 4.3, with no element being rated a “1”, resulting in an overall rating of record that is a “3”.
Level 1 - Unacceptable	Any performance element rated as a “1”.

For example, if you have four performance elements, and three of four are scored as a “5” and the other is a “3”, the calculation will look like: $5+5+5+3=18$. The sum of all the elements are then divided by the total number of elements: $18 \div 4 = 4.5$. This results in an overall rating of record of a “Level 5 – Outstanding”. If two of the four elements are scored as a “5” and the other two were “3”, the final calculation would be 4.0, resulting in an overall rating of record of a “Level 3 – Fully Successful”. If any rated performance element is scored as a “1” this results in an overall rating of record of “Level 1 – Unacceptable”. A forced distribution of ratings is not allowed under the new program.

#2 - To promote a culture of enhanced employee engagement, supervisors are highly encouraged to use the full range of awards and recognition options, both monetary and non-monetary, throughout the year for effective performance, and not wait until the end of the appraisal cycle. Supervisors should ensure their employees are aware of the various options. Be sure to check with your local Human Resources office to see what is available to you and your employees.

#1 - The amount of performance elements and standards for supervisors must be equal to or greater than the technical elements and standards, but there is no impact to position classification. What that means is that 50% or greater of the final rating will be based on how well they performed supervisory duties – remember, this program places strong emphasis on supervisory responsibilities and employee engagement.



NEW BEGINNINGS

Introduction to the DoD Performance Management and Appraisal Program (DPMAP)



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Leadership hiring **NEW BEGINNINGS** Supervisor Performance communication
 SERVICE **Pride** readiness WORKFORCE PLANNING
Ownership Guides **FOCUS**
 EXCELLENCE **mission** accountability MENTORING Commitment
 tools Teamwork **PERFORMANCE** training
 Rewards

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Course Information

Lesson 1: Performance Management Overview



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Administrative Information

- Start and end times for the class
- Timing of breaks
- Timing of lunch
- Smoking area
- Location of bathrooms
- Location of emergency exits
- Mobile devices
- Parking Lot



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NEW BEGINNINGS **Ground Rules**

- Participate
- Share experiences
- Respect divergent opinions
- Ask questions
- Avoid private side conversations
- Honor time commitments



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NEW BEGINNINGS **DPMAP Training Agenda**

- 2 - day course
- 7 Lessons
 - Lesson 1 Performance Management Overview
 - Lesson 2 Engaged Employees
 - Lesson 3 Planning Performance
 - Lesson 4 Continuous Feedback
 - Lesson 5 Monitoring Performance
 - Lesson 6 Evaluating Performance
 - Lesson 7 Recognizing and Rewarding Performance

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NEW BEGINNINGS **Introductions**

➤ Please share your:

- Name
- Current position
- Location
- Experience in performance management
- Burning questions

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NEW BEGINNINGS **Learning Objectives**

Upon completion of this lesson, you will be able to:

- Describe the relationship between performance management and the Department of Defense (DoD) mission and core values
- Identify key performance management roles and responsibilities
- Recognize significant performance management features
- Characterize the DoD performance management model

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NEW BEGINNINGS **What Do You Know About Performance Management?**

PERFORMANCE MANAGEMENT

What You **THINK** You Know

What You **KNOW** You Know

What You **ACTUALLY** Know

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NEW BEGINNINGS **Performance Management and DoD Strategic Mission/Goals**

DoD Strategic Mission/Goals

Team/Individual

Organizational Goals

Component/Command/Activity Goals

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NEW BEGINNINGS Pre-Decisional Involvement (PDI) of Labor Representatives and Program Development

- DoD engaged with labor representatives through the DoD Roundtable
 - Unions holding National Consultation Rights (NCR) under the Labor Relations Statute participated in the development of the DoD Performance Management and Appraisal Program with senior DoD leadership
- Nothing in DPMAP changes the rights of employees, unions, or management
- How the program is implemented may be guided by the collective bargaining agreement (CBA)
 - Depending on the procedures contained in the CBA, bargaining may be required prior to local implementation of the program
- Consult your local Human Resources (HR) Labor & Employee Relations office for collective bargaining guidance

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NEW BEGINNINGS DoD Performance Management Process

- Performance Management is the systematic process by which an Agency involves its employees, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of Agency mission and goals. (5 CFR §430.102)
- Performance management is:
 - **Planning** work and setting expectations
 - **Monitoring** performance continually
 - **Evaluating** performance in a summary fashion
 - **Recognizing and rewarding** good performance

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NEW BEGINNINGS DoD Core Values

The diagram features a central triangle with the words "TECHNICAL KNOWLEDGE", "PROFESSIONALISM", and "LEADERSHIP" at its vertices. This triangle is enclosed within a larger circle. Six blue circles, each containing a core value, are arranged around the central triangle. Arrows point from each of these outer circles toward the central triangle. The values are: Duty (top), Courage (top-right), Honor (bottom-right), Ethics (bottom), Integrity (bottom-left), and Loyalty (top-left).

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NEW BEGINNINGS High-Performing Organizations

The diagram shows a central dark blue pentagon labeled "High-Performing Organization". Six light blue rounded rectangular boxes are arranged around the pentagon, with arrows pointing from each box toward the center. The boxes contain the following text: "Continuous Learning and Improvement" (top), "Diversity" (top-right), "Communication" (right), "Respect" (bottom-right), "Accountability" (bottom-left), and "Integrity" (left).

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NEW BEGINNINGS **Key Performance Management Levels**

DoD Mission

Supervisors and Employees

Organization

Component/Command/Activity

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NEW BEGINNINGS **Key Performance Management Features**

5
3
1

Performance Appraisal Cycle

April 01 through March 31

Minimum of THREE

Performance Discussions are Required BUT MORE RECOMMENDED

Three-Level Rating Pattern

Outstanding (5)

Fully Successful (3)

Unacceptable (1)

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NEW BEGINNINGS **Key Performance Management Features**



Continuous Recognition and Rewards

Fosters Cultural and Attitudinal Change

Automated Performance Appraisal Tool

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NEW BEGINNINGS **DoD Performance Management Model**



PLANNING

MONITORING

EVALUATING

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Learning Objectives Review

You should now be able to:

- Describe the relationship between performance management and the Department of Defense (DoD) mission and core values
- Identify key performance management roles and responsibilities
- Recognize significant performance management features
- Characterize the DoD performance management model



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Questions

- Are there any questions?



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Additional Resources

- National Defense Authorization Act for Fiscal Year 2010, *Section 1113(d)* DODI 1400.25, Volume 410, *DoD Civilian Personnel Management System: Training, Education, and Professional Development*.
- DODI 1400.25, Volume 431, *DoD Civilian Personnel Management System: Performance Management and Appraisal Program*.
- DODI 1400.25, Volume 451, *DoD Civilian Personnel Management System: Awards*.
- DCPAS Resources and References web site:
<https://www.cpms.osd.mil/Subpage/NewBeginnings/ResourcesReferences/>
- DCPAS HR Toolkit:
<https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Performance-Management/Pages/PM-Guides-TipSheets-Checklists.aspx>
- DCPAS LERD web site
<https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Pages/Home1.aspx>
- Corporate Leadership Council. *Building the High-Performance Workforce: A Quantitative Analysis of the Effectiveness of Performance Management Strategies* (Washington D.C.: Corporate Executive Board, 2002)



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MANAGER/SUPERVISOR FOCUS ON PERFORMANCE

The new DOD Performance Appraisal System is about performance and results. Working in an organization where employees know what is expected, where there is a shared vision of what needs to be accomplished, and where employees are provided feedback about performance is a recipe for success. You are encouraged to help employees take ownership of their performance. This brochure provides you with information on what you should be doing to:

It Starts with You!

Focusing on performance requires leadership, but you can't guide your staff to succeed without having a clear understanding about what drives organizational and individual performance. Periodically reviewing your organization's strategic goals and elements will help you stay focused on what is relevant and important and ensure work activities and individual performance elements are aligned with mission requirements. Consider:

- Link individual performance with organizational goals
- Discuss performance elements, career goals and developmental needs with your employees
- Monitor performance
- Evaluate contributions and accomplishments

- Your organization's mission and strategic goals and elements
- How your team's work will achieve these goals
- What performance elements each individual can set to support the goals
- How you will know when you achieve success

Alignment is Key – Linking Individual Performance with Organizational Goals

Understanding the linkage between organizational goals and elements and individual performance is key to implementing the new performance management system. As a supervisor, you are responsible for ensuring your employees' understanding about performance management and encouraging their involvement in the performance-management process.

To give your employees an idea of how their work and performance relate to your organization and mission, start with analyzing the work that you and your staff perform. Are your employees focused on the right type of work? Can you identify the relationship between what your employees do and how this helps the organization achieve its mission? Is the work properly aligned? By taking time to assess what you are doing, you can focus on high-value tasks and eliminate low-value tasks, where possible.

MANAGER/SUPERVISOR FOCUS ON PERFORMANCE

Identifying gaps and redundancies will maximize individual performance and give you a picture of how each individual contributes to the success of your organization. This information also provides the foundation for you and your employees to jointly develop their performance plans. Give yourself time to think about what you want to say and what you need to continue to be successful.

Performance Planning – Thinking About Employee Contributions to Mission Success

Performance planning is a shared responsibility. Before meeting with your employees, have them consider the role they play in the organization and what they want to focus on during the performance cycle. You may ask them to think about:

- What they do and how they perform their job
- How they contribute to the work their group accomplishes
- How they support your team in working toward its goals
- How to capitalize on their strengths
- Where they need to improve and what support they need

Here is a simple acronym to use when writing your performance elements

Specific –elements should describe what to accomplish

Measurable – there should be some way to quantify accomplishments

Achievable –task completion should be within the employee’s control

Relevant –elements should be related to your mission

Timely –elements should identify realistic time frames fro completion

Your employees need to understand the performance elements that you jointly establish at the beginning of the performance cycle as those elements will be the basis for determining their accomplishments and resulting performance-based rewards at the end of the cycle.

Establishing Performance Elements

Performance elements should be clear, concise, measurable statements that describe the specifics of what employees plan to accomplish during the year. While the number of performance elements established depends on the nature of individual work, employees typically have between one and seven performance elements. As employees write their performance elements, a few things to keep in mind

MANAGER/SUPERVISOR FOCUS ON PERFORMANCE

- This should not be complicated
- This is not about being a good writer – it is about employees effectively documenting what they want to accomplish during the year
- This is an opportunity to discuss what you and your employees think they should be focusing on during the year so that you have a shared understanding of expectations
- This is a chance for you to help your employees think about what they want to do with their career and what opportunities they need to take advantage of to acquire the knowledge, skills and abilities they need to progress
- You should be preparing for the individual performance meeting that generally occurs at the beginning of the performance cycle

Meeting with Employees

The initial performance session provides a structured opportunity for you and your employees to discuss their work and the key activities they will engage in throughout the year and how to facilitate ongoing communication. You need to ensure that you have sufficient time to meet with each employee. Sessions should be scheduled around a mutually agreed upon time that allows you both to share your thoughts and openly discuss performance elements. During this meeting, you should also discuss any developmental needs you and/or your employee have identified. Be realistic about the type of support you can offer – consider training, mentoring, coaching, on-the-job activities or some other assistance that would serve as the foundation for an ongoing dialogue between you and your employee. This is documented in the form of a Performance Assistance Plan.

Monitoring Success

You and your employees should meet regularly to make sure they are on track to achieve their elements. Making performance discussions a regular part of your business routine builds mutual trust and confidence that you are working together to achieve individual and organizational success. These sessions can occur informally in brief meetings or e-mail exchanges or on a more formal basis. As you monitor your employees' performance, you will be able to identify strengths and examples of success. You will be able to see how they did and what they can do to repeat the successes. In addition, you will be able to note weaknesses and shortfalls as they happen. Taking time to communicate with employees about their performance ensures their awareness and, if a problem surfaces, provides time for you to help them improve before the performance cycle ends. This interaction builds performance accountability. Employees will be more engaged in the process and more inclined to take ownership of their performance.

Communicating Their Accomplishments

MANAGER/SUPERVISOR FOCUS ON PERFORMANCE

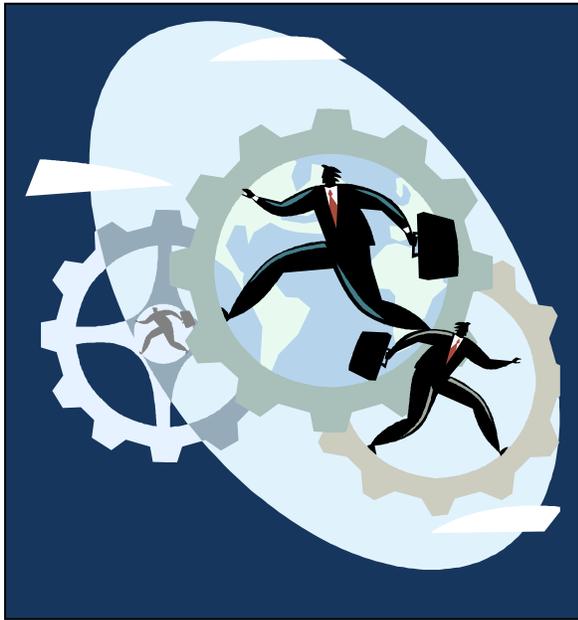
It is your employees' responsibility to communicate what they have achieved. It is your responsibility to help your employees achieve their standards by creating an environment that fosters success. Because you have been having discussions with your employees, the results of your final meeting to discuss their accomplishments and their performance rating should not be a surprise to either party. Rather the meeting should be an opportunity for you to offer suggestions for ways that they can translate what they do well into other areas and to address deficiencies in a constructive manner. You may need to help employees document their accomplishments. Though employee input is voluntary, employees should:

- Write their accomplishments in a clear and concise manner
- Identify specific examples of what they achieved
- Demonstrate how their accomplishments resulted in your organization achieving its goals

This session is also a time to discuss career goals, training and other career broadening opportunities that the employee was able to take advantage of to enhance skills, identify additional skills building opportunities, and plan for anticipated developmental needs.

The performance management system provides the tools and the focus for increasing individual and organizational effectiveness. Helping your employees shape their careers and ensuring their work assignments are aligned with your organizational goals are the keys to their success – and yours.

COMMUNICATIONS WITH EMPLOYEES – A GUIDE FOR SUPERVISORS



Why Talk About Performance?

Most employees consider their supervisor their most trusted source for gathering information. Your staff believes you are acting in their best interest and what you say is truthful. They rely on you to help them understand the new appraisal system and the impact it will have on their work environment. By proactively communicating with your staff, you:

- **Reduce apprehension, uncertainty and confusion** – The more you and your staff discuss the system, the more they will understand the new system and what it means to work in a performance-based organization. A common understanding and shared vision contribute to a more efficient and effective work environment.
- **Dispel rumors** – By openly communicating with your staff and soliciting feedback, you will have the chance to address staff concerns and provide fact-based information that dispels any rumors and clarifies any misconceptions about the new system.
- **Increase confidence** – Taking time to explain

Employees who understand where they fit in the big picture and what they need to do to succeed are going to be more open to the new process.

As an organizational leader, it is essential that you openly communicate with your employees about the new performance system.

Employees must understand:

- Why the change is taking place
- What it means to work in the organization
- What is expected of them
- What skills they currently possess and

What Topics to Discuss

Make time to discuss the following topics with your staff.

Describe the move to a Performance Management System and how performance is tied to mission accomplishment.

The performance management system requires robust, two-way communication between employees and supervisors. Be sure to explain that:

- **Individual performance expectations are linked to organizational goals.** Describe how your organizational goals relate to the DOD mission. Explain the near-term and long-term goals of your organization and how individual performance impacts mission accomplishment.
- **Each employee is responsible for individual success.** Employees work with you to establish performance goals and to meet expectations, and are recognized and rewarded for achieving their performance goals through individual and team accomplishments.
- **Employees and supervisors openly discuss individual performance goals and expectations.** Progress towards meeting Employee

COMMUNICATIONS WITH EMPLOYEES – A GUIDE FOR SUPERVISORS

Rights and Protections

The new system provides rewards and career progression, while ensuring rights, protections and current benefits. It offers managers and supervisors an improved system to acknowledge and reward job performance. Employees who achieve their performance goals through individual and team contributions can be recognized and rewarded. As you transition to the new system, take time to communicate these opportunities to your staff while continuing to reassure them about their benefits and protections.

How to Communicate

Remember the following guidelines as you prepare your staff for the new system.

Encourage Effective Communication

Heighten your staff's understanding of the system and make them aware of potential opportunities through clear and timely communication. Take advantage of the following opportunities to provide your staff with information on changes, training and benefits:

- Memos and e-mail messages
- Conference calls
- Newsletters
- Staff meetings
- Organizational website
- Performance management discussions

Be Proactive and Available for Discussion

Despite all of the constraints on your availability, schedule time to discuss the new system with your staff. Talk to them individually and as a group, using whatever time is needed to convey what you know. If your staff asks questions that you are unable to answer, do not be afraid to admit it. Gather the questions and concerns and make a commitment to get back to them when you have more information. The more time you spend explaining the performance appraisal system, the more your staff will understand and accept it.

(Supervisors of bargaining unit employees should discuss employee meetings with the servicing HR office in advance to ensure statutory labor relations obligations are met.)

Ask for Feedback; Address it constructively

As the new system is implemented, feedback from staff can help you identify those areas where more communication is needed. In addition, feedback can help you identify areas for process clarification and improvement. When you solicit feedback, be prepared for whatever feedback you get, whether positive or negative. Amplify positive feedback and share it with your group. Acknowledge resistance and address it by reinforcing the benefits of the new system to the individual and to the organization.

When it is appropriate, share your experiences and ask others to talk about their experiences.

COMMUNICATIONS WITH EMPLOYEES – A GUIDE FOR SUPERVISORS

When? Start Today

Over the next few months, take the first steps to ready your organization for the new performance system:

- Work with your staff to establish opportunities for open discussion. Ask lots of questions and share your findings.
- Ask for help in identifying ways you can solicit and respond to feedback.
- Help staff members begin to identify ways they can contribute to achieving organizational elements and work together to redefine tasks to match organizational elements. Explain why assignments may change.
- Identify and communicate staff skill development and learning opportunities.
- Create lines of communication to discuss issues that affect achieving organizational elements.
- Stay in close contact with your servicing HR Employee Relations Office.

Performance Management – An Overview for Employees

One of the cornerstones of DOD Human Resources is the performance management system - a system that recognizes and rewards you based on your performance and contribution to the mission of your activity. Understanding how your performance and contribution link to achieving organizational goals and DOD's critical mission is important. When your performance expectations and work are aligned with organizational goals and DOD's mission, your value to the organization and mission is enhanced. As your organization is converted into to the new DOD Performance Management System, you will have an opportunity to learn more about the performance management system. This Fact Sheet provides an overview of the performance management system to prepare for the move. To prepare you for this training, it is important to provide you with some grounding. Take a few moments to read "Terms You Need to Know" - it provides key terms and definitions that are important to the performance management system.

Terms You Need to Know

Performance Expectations – The duties, responsibilities, and competencies required by, or level of performance associated with your position, and the contributions and demonstrated competencies that management expects of you.

Performance Standard – An expression of performance expectations in the performance plan that are linked to the organization's goal(s) and mission(s). Performance standards are used to communicate major individual, team, or organizational responsibilities, contributions, and the related outcomes and accomplishments expected of you during the appraisal period. They express how well an employee must perform their job to achieve accomplishment at the fully successful level.

Summary Rating (or Rating of Record) – This is the overall performance rating for the most recent performance year. This rating is established by combining the individual ratings on each element to arrive at an overall evaluation of an employee's performance for an appraisal period.

Critical Elements:

- Define work assignments or responsibilities of such importance that unacceptable performance in that element would result in a determination that the overall performance is unacceptable.
- Are used to measure individual outcomes that the employee directly controls.
- Should outline responsibilities that are essential to the work of the organization.

Performance management is an ongoing process. There are specific activities that take place during each.

Working with Your Supervisor

You will want to establish and maintain an effective way to get feedback from your supervisor. We all work differently, so when you work with your supervisor to establish your performance plan, discuss how you and your supervisor will communicate. You want to know:

- What is working?

Performance Management – An Overview for Employees

- Are there training or development opportunities available to improve my skills?
- Is there something I need to focus on to improve my performance?
- Do I need to add, eliminate, or adjust some of my job elements and standards because the organization's priorities have shifted?
- Is there something out of my control that makes it difficult or impossible to do my work successfully?
- Am I being challenged enough?

Planning Performance

During the planning step, you and your supervisor develop your performance plan. Typically the performance cycle is one year, ending March 31. However if you are new to the organization, your performance plan will be written for the work you complete from the time your performance plan is established through the end of the cycle. You and your supervisor will:

- Discuss performance expectations for the performance cycle. You and your supervisor should have a shared understanding of what is expected of you.
- Develop your job elements and standards. Your job elements focus on the critical work that you perform that is aligned with your organizational goals and focused on results. Job elements identify "what" you do; the standards identify how the elements will be measured. Typically, most of us have three to five elements and standards. Ultimately it is your supervisor's responsibility to document your elements and standards; however, your involvement is crucial.
- Establish a process for ongoing communication. Communication is critical to the success of our performance management system. You and your supervisor must have a shared understanding of what is expected and arrange for ongoing communications and arrange for ongoing communication and dialogue throughout the performance cycle.

Monitoring Performance

Throughout the performance cycle, you and your supervisor will monitor your performance. Why is this important? It is important for you and your supervisor to know what is working, address what is not working, and ensure that your performance plan accurately reflects what you are doing. It is a good idea for you to keep a record of your accomplishments so that you are able to discuss them throughout the cycle. Along with ongoing monitoring activities, there are required performance discussions. A performance discussion occurs midway through the performance cycle. During these reviews, you and your supervisor take a look at your performance plan and make adjustments if there are significant changes to your work or your organizational goals.

Developing Performance

Developing performance is integrated with the performance management process. Along with meaningful performance-related discussions that help reinforce your strengths and correct weaknesses, discussing training and developmental opportunities is important. Discuss any



Performance Management – An Overview for Employees

professional or technical development opportunities with your supervisor to further enhance your contribution to the organization's mission. These discussions are documented in a Performance Assistance Plan. The purpose of the Performance Assistance Plan is to identify and document any formal training, on-the-job training, counseling, mentoring, coaching and other assistance that will maximize performance and enable you to achieve and contribute to mission success as well as enhance your individual development. Performance Assistance Plans are built from your performance plan and reflect your career aspirations and goals as well as the needs of your organization to accomplish the mission. Performance Assistance Plans should be included in all performance discussions and modified to meet the needs of any new technology, training, or assignments that may contribute to your development.

Rating Performance

At the end of the performance cycle, your performance is rated by your supervisor. You play an important role in the rating process you document what you accomplished and discuss those accomplishments with your supervisor. Your performance is rated on what you accomplished. This is done by evaluating each element in your performance plan. You will receive a rating of “Outstanding,” “Fully Successful,” or “Unacceptable” for each element.

Rewarding and Recognizing Performance

When you and your supervisor work together throughout the entire performance management process, recognizing and rewarding good performance is the natural next step. Awards are tools to acknowledge, motivate, and reward significant achievements or contributions and should be an integral part of performance management. It is important to recognize good performance and exceptional achievements throughout the performance cycle as they occur, preferably as close to the act(s) being recognized as possible. Awards policies and procedures are developed at the component level but there are some general guidelines:

- The granting of awards is discretionary, not an entitlement, subject to approval at the appropriate level above the rating official.
- Management will determine the nature of the recognition.
- Employees will not be advised that they are under consideration for, or have been nominated for, performance-based recognition.
- Honorary awards and time off awards should be used to the maximum extent possible in lieu of monetary awards.



NEW BEGINNINGS

Lesson 2: Engaged Employees

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NEW BEGINNINGS

Leadership hiring **NEW BEGINNINGS** SERVICE **Pride** readiness WORKFORCE PLANNING **Ownership** Supervisor Performance communication Guides **FOCUS** EXCELLENCE accountability MENTORING **PERFORMANCE** Commitment training mission Teamwork Rewards

Department of Defense **DCP&S** *Performance Management is a COLLABORATIVE EFFORT Between Supervisors and Employees* DPMAP Rev.2 July 2016 (23)



Learning Objectives

Upon completion of this lesson, you will be able to:

- Define the relationship between organizational effectiveness and performance management
- Define employee engagement's connection to the DoD culture of high performance
- Identify activities that can improve supervisor-employee relationship
- Identify strategies to enhance employee engagement



*Performance Management is a COLLABORATIVE EFFORT
Between Supervisors and Employees*

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Organizational Effectiveness and Performance Management

- Performance management is the integrated process by which an agency involves its employees in improving organizational effectiveness in the accomplishment of agency mission and strategic goals
- Organizational effectiveness is defined as how well an organization is able to meet its goals
- Credibility, transparency, equity, and accountability enhance organizational effectiveness
- Effective performance management can significantly improve organizational success



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Between Supervisors and Employees*

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Employee Engagement and High-Performance Environments

COLLABORATIVE

- Two-way
- Supervisors provide instruction, but employees are encouraged to provide feedback
- Upward feedback

DIRECTIVE

- Top-down thinking
- Supervisors provide instruction, employees carry out the task



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Between Supervisors and Employees*

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Video – David Marquet Capacity for Greatness



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What Is Employee Engagement?

U.S. Merit System Protection Board research identified six themes important to Federal employees. They are:

A heightened connection among employees, their work, their organizations, and the people with whom they work, including supervisors

- 1. Pride in one's work or workplace
- 2. Opportunity to perform well at work
- 3. Prospect for future personal and professional growth
- 4. Satisfaction with leadership
- 5. Satisfaction with the recognition received
- 6. A positive work environment with a focus on teamwork



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Supervisor-Employee Engagement

Supervisors and employees should MEET FREQUENTLY to discuss:

- DoD core values
- Organizational goals
- Work assignments and accountability
- Time, resources, and changing mission requirements
- Career goals and interests
- Focus on performance planning
- Skill development and learning opportunities



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NEW BEGINNINGS **Supervisor-Employee Roles and Responsibilities**

- Supervisors and employees, when effectively collaborating, can greatly impact organizational effectiveness
- Open communication is beneficial to building employee engagement
- Three keys roles for employees to help their supervisors:

Team Empowerment	Upward Coaching	Upward Feedback
<ul style="list-style-type: none"> • Maintain team cohesion • Understand what others on the team do • Share their sense of the team's strengths and areas for improvement • Share their understanding of the team's biggest challenges 	<ul style="list-style-type: none"> • Understand both the team's and their responsibilities • Share the best informal ways of getting things done • Share the team's long-term work goals • Teach their supervisors a new skill, concept, process, or procedure 	<ul style="list-style-type: none"> • Give their supervisors constructive feedback • Give feedback on their supervisors' ideas • Sharing their understanding of the supervisors' strengths and areas for improvement

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NEW BEGINNINGS **Small Group Activity: Employee Engagement Scenarios**

- Break into groups of 3 or more
- In each group, assign a:
 - Note taker
 - Time keeper
 - Spokesperson
- Group 1 reviews Employee Engagement Scenario #1
- Group 2 reviews Employee Engagement Scenario #2
- Group 3 reviews Employee Engagement Scenario #3

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Employee Engagement Scenario #1

Betty is a supervisor who loves her job and is very passionate about what she does and how she does it. She takes advantage of opportunities to learn more about her field, attending an annual conference and signing up for seminars when they are offered. Her personal values align well with those of the agency, and she emphasizes the importance of their mission to her employees. She ensures that her team is prepared to take advantage of developmental opportunities. Her employees always know her expectations for their work because she meets with them regularly to discuss their work.

Her employees always give her their best and follow her lead in looking for opportunities to grow professionally. They take great pains with their work to ensure it's the best they can do. They often collaborate with each other, reaching out to help each other achieve their goals.

Betty has never thought to nominate her team for the agency's annual Outstanding Department of the Year award for exceptional performance, even though supervisors often tell her how much they enjoy working with her team. They often praise the team's professionalism and say that the team's work is first-rate. Betty takes great pride in receiving these compliments and believes it is because of the high standards she has instilled in the team.



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Employee Engagement Scenario #1 Debrief

- On a scale of 1 to 5, where 1 is being disengaged and 5 is being highly engaged, how engaged do you think Betty is? Why?
- What are some of the positive results of Betty's level of employee engagement in her job?
- How would your employees respond to Betty's style and level of employee engagement? Why?



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Employee Engagement Scenario #2

Sam was promoted to supervisor almost a year ago, partly because of his strong technical skills, but also because he so clearly loved what he was doing. His values closely matched the mission of the organization, which made him work harder than many of his counterparts. He is highly competent in his team's technical area, and often prefers to solve problems himself rather than delegating appropriately to his employees or ask their opinions on how to proceed.

Although Sam is courteous and respectful to his employees, he does not spend much time talking with them to find out about their career goals or professional interests. He is very reserved and his team seems to be reluctant to initiate conversations with him about topics such as his expectations for their performance, opportunities for growth, or offering to take more responsibility for decision making.

Sam received feedback during his performance review that suggested he should focus on his interpersonal skills as a way to help his employees become more engaged with their work and the agency. Since he received this feedback, Sam has become less enthusiastic and involved in his work. He often leaves work early and avoids having one-on-one conversations with his team. He knows that this is having a negative effect on his team's engagement and motivation, but he does not know what to do.



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Employee Engagement Scenario #2 Debrief

- Sam was highly engaged at the time of his promotion, but the performance elements of his job that require supervision and one-on-one interaction with employees make him uncomfortable. As a result, he is becoming less engaged. What effect will this have on his team's level of engagement?
- If you were Sam's supervisor and you noticed this change in behavior, what would you do?
- If Sam really wants to change things and get his team engaged in their work, what could he do?



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Employee Engagement Scenario #3

Francine is an experienced supervisor who absolutely loves her job. She enjoys both the technical work and, particularly, being in a position to assist and influence others in their career development. She feels that working with her team is one of the most important things she does, and looks forward to opportunities to mentor them and share her knowledge. Francine also acts as a conduit for information from other parts of the organization. Last month, her supervisor told her that several budget-cutting actions were coming within the next two months. These included cutting training classes and cuts in awards programs for the rest of the fiscal year. Depending on how much money is saved through these cuts, leadership is considering reorganizing some departments to improve efficiency.

Her employees seemed to appreciate her interest and they came to her for advice and, following her example, they worked very collaboratively. After she told her team about the upcoming budget cutting measures, she has noticed that they seem to be working more on their own rather than seeking out others to share ideas or discuss problems. In addition, they are not communicating with her in person, often choosing to email her rather than call or come to her office. So far, performance has not decreased, but Francine is concerned that the cuts are causing her team to feel less engaged with the agency.



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Employee Engagement Scenario #3 Debrief

- What are some potential causes for the change within the team?
- What can Francine do to help improve the team's engagement level?
- What effect might her employees' lower level of employee engagement have on Francine's own attitude and engagement?
- What could the team do to help her?
- What could she do to re-energize herself?
- What could her supervisor do to help her?



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Employee Engagement Scenarios Exercise

- What are some strategies that supervisors can implement to enhance employee engagement?
- Write down 3 ideas that would work in your workplace on 3 different sticky notes.



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Additional Employee Engagement Strategies



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NEW BEGINNINGS

Wrap-up Discussion:
Engaging and Disengaging Behaviors In Your Workplace

➤ What have you seen in your own workplace that...

- Engages people?
- Disengages people?



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NEW BEGINNINGS

Learning Objectives Review

You should now be able to:

- Define the relationship between organizational effectiveness and performance management
- Define employee engagement's connection to the DoD culture of high performance
- Identify activities that can improve supervisor-employee relationship
- Identify strategies to enhance employee engagement

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Questions

- Are there any questions?



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Additional Resources

- DODI 1400.25, Volume 431, DoD Civilian Personnel Management System: Performance Management and Appraisal Program.
- DODI 1400.25, Volume 451, DoD Civilian Personnel Management System: Awards.
- U.S. Department of Defense, *Report of the New Beginnings Design Teams: Proposals and Recommendations for the Design of Personnel Authorities in Section 1113(d) of the National Defense Authorization Act for Fiscal Year 2010* (Washington D.C.: November 2011)
- U.S. Government Accountability Office, *Additional Analysis and Sharing of Promising Practices Could Improve Employee Engagement and Performance* GAO-15-585 (Washington D.C.: Government Printing Office, 2015).
- U.S. Merit Systems Protection Board, *Managing for Engagement – Communication, Connection, and Courage* (Washington D.C: Government Printing Office, 2009).
- U.S. Merit Systems Protection Board, *The Power of Federal Employee Engagement* (Washington D.C: Government Printing Office, 2008).
- DCPAS Resources and References web site:
<https://www.cpms.osd.mil/Subpage/NewBeginnings/ResourcesReferences/>
- DCPAS HR Toolkit:
<https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Performance-Management/Pages/PM-Guides-TipSheets-Checklists.aspx>
- DCPAS LERD web site
<https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Pages/Home1.aspx>



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NEW BEGINNINGS

Lesson 3: Planning Performance

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NEW BEGINNINGS

Leadership hiring SERVICE Pride readiness WORKFORCE PLANNING Ownership Supervisor Performance communication Guides FOCUS EXCELLENCE accountability MENTORING tools mission Teamwork PERFORMANCE Commitment training Rewards

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Learning Objectives

Upon completion of this lesson, you will be able to:

- Explain the performance planning phase and its importance to the success of the performance management process.
- Explain how to link your work performance plan to your organization's mission and core values.
- Write performance standards for the performance plan using the SMART concept.
- Describe tools and techniques used to finalize the performance plan.



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Performance Management

- Ongoing
- Supervisors and employees **share** responsibility
- Consist of:
 - ✓ Proactively **planning** work and setting expectations
 - ✓ Continually **monitoring** performance
 - ✓ **Evaluating** performance in a summary fashion
 - ✓ **Recognizing and rewarding** good performance



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The Importance of Planning

- Plan work, set expectations for future results
- Connect employee's work to the DoD mission and how it cascades down to the employee
- Increase awareness of expectations and results
- Provide a sense of ownership in the plan
- Create a better understanding of performance and evaluation standards



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Planning Performance

Planning Phase

Effective performance planning is a result of employee and supervisor engagement that provides opportunity for employee input in establishing ongoing communication and establishment of a mutual understanding of performance expectations and organizational goals throughout the performance appraisal cycle



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NEW BEGINNINGS

Planning Phase Roles and Responsibilities

Employees:	Supervisors:
<ul style="list-style-type: none"> Identify achievable performance elements and standards for themselves Provide input to supervisor regarding the performance plan Ask questions to clarify the supervisor's expectations of their performance 	<ul style="list-style-type: none"> Compile list of tasks Establish appropriate performance elements Establish quantifiable and measureable standards Communicate approved performance plan to employee and how performance expectations link to organizational goals Encourage continuous, meaningful two-way communication Proactively communicate the plan to the employee Provide a copy of the approved performance plan Conduct performance planning discussions Modify the performance plan, as needed

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NEW BEGINNINGS

Performance Elements

➤ Performance elements describe what work is to be performed

- Performance plans must have a minimum of one critical performance element, maximum of 10, and each performance element must have associated standards that define expectations
- The number of supervisory performance elements on performance plans for supervisors will equal or exceed the number of non-supervisory (technical) performance elements
- An organization *may* have standardized performance elements

DoD Instruction 1400.25, Vol. 431

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NEW BEGINNINGS **Standards**

- Standards describe how the requirements and expectations provided in the performance elements are to be evaluated
 - ❑ Should be written using SMART criteria
 - ❑ Must be written at “Fully Successful” level for each performance element
 - ❑ Avoid using absolute standards (e.g., 100 percent, always, or never) unless critical to life and safety

DoD Instruction 1400.25, Vol. 431

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NEW BEGINNINGS **Are the standards applicable?**

- Can the supervisor use the standards to appraise performance?
 - Standards should specify:
 - Quality
 - Quantity
 - Timeliness
 - Cost-effectiveness
- The standards should clearly describe the factors that the supervisor would look for and how well those factors should be done.
 - Can the supervisor effectively use the data collected?
 - If monitoring performance on the performance element is too costly or time-consuming, the standard might need to be altered to include more manageable standards.

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Are the standards achievable?

- Are expectations reasonable?
- Research has shown that setting expectations that are impossible or nearly impossible to achieve can actually cause performance levels to drop because employees tend to give up if they perceive the goal as impossible



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Are the standards fair?

- Are they comparable to expectations for other employees in similar positions?
 - Applying different standards to employees doing the same work does not appear on its face to be fair or valid
 - Requiring higher-level management review of standards for similar work across an organization may be one way of ensuring equity
- Do the standards allow for some margin of error?
 - Requiring perfection is not fair in most instances



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NEW BEGINNINGS

Can Fully Successful be surpassed?

Is it possible for an employee's performance to exceed the standard?

By including "Fully Successful" standards that cannot be surpassed, the performance plan effectively eliminates the opportunity for the employee to obtain a higher assessment.

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NEW BEGINNINGS

Are performance elements and standards adjustable?

- Can they be adapted readily to changes in resources?
- Performance elements and standards can be modified during the performance appraisal cycle to meet changing organizational goals and other situations.
 - As long as the employee works under the new standards for at least 90 days
- This flexibility allows performance plans to be used as management tools to manage employee performance on a day-to-day and week-to-week basis.

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NEW BEGINNINGS **Writing SMART Standards**

S Specific

M Measurable

A Achievable

R Relevant

T Timely

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NEW BEGINNINGS **Writing SMART Standards**

S Specific: Stated as simply, concisely, and explicitly as possible.

- Defined as specific behaviors, efficiencies, or results
- Concrete and job-related
- Stated in active voice with one action verb

Example: Type written communications for the division.

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NEW BEGINNINGS **Writing SMART Standards**

M Measurable: Outcome-oriented, reflecting the most important aspects of performance.

- Should be able to
 - Evaluate objectively
 - Identify criteria for success and failure
 - Provide a number or percent that can be tracked

Example: Type written communications for the division **with less than 3 errors per page.**

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NEW BEGINNINGS **Writing SMART Standards**

A Achievable: Can be accomplished with available resources

- Should be:
 - Realistic requirements
 - An appropriate amount of work/responsibility
 - Feasible according to the employee's competencies and the organization's resources

Example: Type written communications for the division **according to the unit's established guidelines** with no more than than 3 errors per page.

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NEW BEGINNINGS **Writing SMART Standards**

R Relevant: the standard is important to the employee and the organization.

➤ Should be:

- Consistent with the employee's role in the workplace
- Aligned with the employee's skills, knowledge, and ability needed to reach fully successful
- Made clear to employee that task is important to success of the organization

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NEW BEGINNINGS **Writing SMART Standards**

T Timely: Change within acceptable timeframe

➤ Should be:

- State when task should be completed
- Expressed as a clear and unambiguous timeframe
- Plausible according to average workload

Example: Type written communications for the division according to the unit's established guidelines, with no more than 3 errors per page and **no less than 80% completed on time.**

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NEW BEGINNINGS **Small Group Exercise: SMART Standards**

- Get into small groups and follow the instructions on the SMART Standards Worksheet
- Be prepared to share your work with the rest of the class



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NEW BEGINNINGS **Example 1: SMART Standards**

1. Provide relevant, timely, all-source intelligence reporting

Complete analysis of effects of UN-imposed sanctions on Iraqi industrial sector and present results in appropriately coordinated intelligence report for release to policy-making community by 31 August. Product will reflect engagement with other analysts and stakeholders, and incorporate their coordinated views. The completed product will make use of available intelligence from at least 90% of relevant sources as dictated by ICD 203.2 and reflect engagement with other stakeholders in the subject of the analysis.

Timely

Specific

Relevant

Measurable/Achievable

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NEW BEGINNINGS **Example 2: SMART Standards**

2. Provide accurate, timely customer service

Upon receipt of requests, provide accurate responses in the agreed-upon timeframes, as defined by ICD 24.8, using the appropriate format identified in SOP25 during the performance appraisal cycle ending March 31, 2017. This supports the organization's commitment to be responsive to customers and clients. Meet suspenses 90% of the time. Provide accurate responses with no more than 2 errors per request.

Specific

Timely

Relevant

Measurable/
Achievable

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NEW BEGINNINGS **Performance Plans**

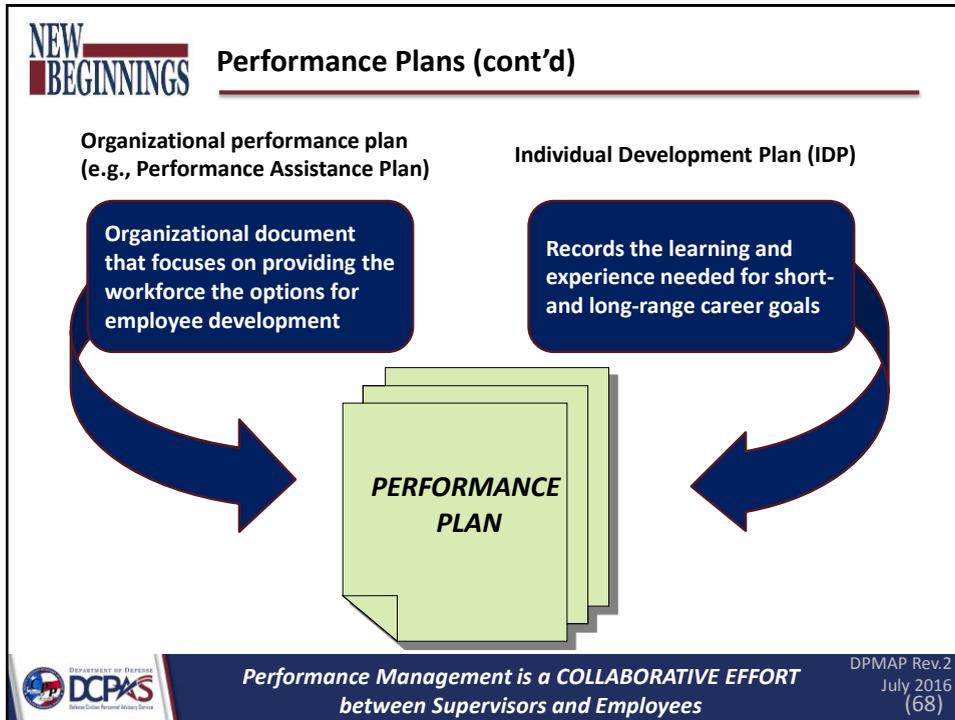
Performance Plan

All of the written, or otherwise recorded, performance elements and standards that set expected performance. The plan must include critical performance elements and their standards. Each employee must have a written performance plan established and approved normally with **30** calendar days of start of the performance appraisal cycle, or employee's assignment to a new position or set of duties.

DoD Instruction 1400.25, Vol. 431

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NEW BEGINNINGS **Will employees understand what is required?**

- If the standards are generic, have they been supplemented with specific information so that employees know what they have to do to demonstrate “Fully Successful” performance?
- Performance elements and their standards should be written clearly and be specific to the job.

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Is the Fully Successful performance level clearly understood by the supervisor and employee?

Are the expectations established in the performance elements and standards quantifiable, observable, and/or verifiable?

Expectations that are specific and that clearly define what must be done and how well it must be done are more effective for managing and directing performance than vague or general expectations.

Employees must know what they have to do and how well they have to do it to perform at a Fully Successful level.



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Revising the Performance Plan

A change to the Performance Plan may be needed if there:

Are there new organizational goals

Is a change in assignment(s), position, or duties

Are outside influences beyond an employee's control that make the original performance elements unachievable

Is a change in assumptions about what can be reasonably achieved during the performance appraisal cycle

Are new priorities

Are shifts or changes in mission

✓ **Minimum 90 calendar days for:**

- **Monitoring of approved performance plans**
- **Employee performance of new performance elements**



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NEW BEGINNINGS **Finalize Performance Plan**

After discussion(s), finalize a written performance plan.

It's important that both the supervisor and the employee understand the performance plan, even if not in agreement.

Plans must be clearly communicated to and acknowledged by employees.

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NEW BEGINNINGS **Performance Plan Checklist**

➤ When developing a performance plan, ask:

Is the Fully Successful performance level clearly understood by supervisor and employee?	Are the standards achievable?	Are the standards fair?
Are the standards applicable?	Will employees understand what is required?	Are the performance elements and standards adjustable?
Can the "Fully Successful" level be surpassed?		

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Benefits of the Performance Plan Checklist

Using the performance plan checklist and involving employees allows for:

- A better understanding of what is expected
- An understanding of the terminology used
- An understanding of how performance will be measured
- Acceptance and trust in the process



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Exercise: Applying the Performance Plan Checklist

- Use the checklist to review the performance elements and standards.
- Pair up and have partners independently validate the SMART standards against the checklist.
- Be prepared to share your work with the rest of the class.



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Planning the Meeting With the Employee

- Communicate how performance elements and standards relate back to organizational goals
- Ask for feedback on the performance elements and standards



Exercise: Planning Meeting Video





Learning Objectives Review

You should now be able to:

- Explain the performance planning phase and its importance to the success of the performance management process.
- Explain how to link your work performance plan to your organization's mission and core values.
- Write performance standards for the performance plan using the SMART concept.
- Describe tools and techniques used to finalize the performance plan.



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Questions

- Are there any questions?



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Additional Resources

- DODI 1400.25, Volume 410, *DoD Civilian Personnel Management System: Training, Education, and Professional Development.*
- DODI 1400.25, Volume 431, *DoD Civilian Personnel Management System: Performance Management and Appraisal Program.*
- DODI 1400.25, Volume 451, *DoD Civilian Personnel Management System: Awards*
- *A Handbook for Measuring Employee Performance: Aligning Employee Performance Plans with Organizational Goals.* Available at:
https://www.opm.gov/policy-data-oversight/performance-management/measuring/employee_performance_handbook.pdf
- DCPAS Resources and References web site:
<https://www.cpms.osd.mil/Subpage/NewBeginnings/ResourcesReferences/>
- DCPAS HR Toolkit:
<https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Performance-Management/Pages/PM-Guides-TipSheets-Checklists.aspx>
- DCPAS LERD web site
<https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Pages/Home1.aspx>



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SMART Performance Standards Worksheet Exercise

Instructions: Rewrite the following performance standards to make them SMART, effective performance standards.

- S** Specific
- M** Measurable
- A** Achievable
- R** Relevant
- T** Timely

Number	Non-SMART Performance Standard	SMART Performance Standard
1	Take care of all incoming inquiries for Chief Financial Officer Affairs. Be sure to respond to all inquiries in a timely manner.	
2	Come up with at least one innovative solution for the organization's current data storage management system problem.	
3	By the end of the year, review the computer security system training and provide a report on what's working and what needs improvement.	

Number	Non-SMART Performance Standard	SMART Performance Standard
4	In support of the Business Excellence Campaign #6, Goal 1, Performance Element 1.1, serve as team leader for the Travel Team. Ensure that a 100% quality review is performed on all travel vouchers prior to being forwarded for payment. Analyze and report on performance metrics monthly. Provide required metric data for travel within 5 business days after the close of the month.	
5	For all projects that you are assigned, be sure to provide high quality deliverables. You must also meet specified timeframes.	
6	Identify one aspect of a current collection strategy that needs improvement. Research and report on solutions. The report should have minimal editing errors, conform to the organizational format, and be submitted soon.	

9. Write a SMART performance standard for your job that you can use in the coming performance year. (We will refer to this again this lesson.)

Answers

Number	SMART Performance Standard	Why it's SMART
1	<p>Manage receipt, tasking, tracking, and closure of all incoming congressional inquiries relating to Chief Financial Officer Affairs. Provide review of all draft responses to inquiries and ensure delivery of final product. Achieve closure within 10 business days of receipt, with 95% of responses satisfying request without need for follow-up.</p>	<ul style="list-style-type: none"> • Specific – “Manage the receipt, tasking, tracking, and closure.” • Measurable – “95% of responses satisfy the initial request.” • Achievable – It is assumed the employee has the resources to accomplish this Performance Element. • Relevant – It supports the mission of the organization. • Timely – “Achieve closure within 10 business days of receipt.”
2	<p>With minimal guidance, develop and recommend one feasible alternative process or long-term solution to recurring server-limitation problems by the end of the fiscal year. The recommendations should be unique from other existing solutions and be able to meet projected data storage needs over the next three years. That is, it should enhance the organization’s ability to efficiently manage, organize, and store increasing amounts of data. Present recommendations in a briefing following the standard organizational format. Give a draft to your supervisor at least one month in advance of the due date and incorporate supervisor’s feedback into the final briefing by the end of the fiscal year.</p>	<ul style="list-style-type: none"> • Specific – “The recommendations should be unique from other existing solutions and be able to meet projected storage needs over the next three years.” • Measurable – The result is observable (a briefing) and has specific standards related to quality of the report (organizational format) and timeliness (given to supervisor one month before the final deadline), and quality of the recommendations (unique and able to meet projected needs over the next three years). • Achievable – Developing potential solutions is challenging but doable. • Relevant – It enhances the organization’s ability to efficiently manage, organize, and store increasing amounts of data. • Timely – “By the end of the fiscal year.”

Number	SMART Performance Standard	Why it's SMART
3	<p>By the end of the fiscal year, evaluate the computer security system (CSS) training, assessing the extent to which the training is easy to use and if it covers the learning objectives sufficiently. Document the evaluation in a report that provides a detailed description of the evaluation methodology and results, and includes feasible recommendations for improvements that address the complaints as determined by your supervisor and one other reviewer. Write the report in the standard department format with no more than minimal editing errors. The draft report is due by July 31, and the final report is due within 10 business days after feedback is received from the reviewer.</p>	<ul style="list-style-type: none"> • Specific – Acronyms is spelled out, report is explained, and it tells the employee who should review all documents. • Measurable – Two reports are due (draft and final). • Achievable – It is assumed the employee has the resources to accomplish this performance element. • Relevant – Determining how to better train individuals to use the computer security system will help protect the organization against threats. • Timely – “The draft report is due by July 31, and the final report is due within 10 business days after feedback is received from the reviewer.”

Number	SMART Performance Standard	Why it's SMART
4	<p>In support of the Business Excellence Campaign #6, Goal 1, Performance Element 1.1, serve as team leader for the Travel Team over the next 12 months. As team leader, develop a system to monitor the review process, ensuring that the quality review checklist is used on travel vouchers prior to being forwarded for payment. Ensure that no more than 5% of the spot-checked vouchers contain more than two errors. Analyze and report on performance metrics monthly. Provide required metric data for travel within 5 business days after the close of the month.</p>	<ul style="list-style-type: none"> • Specific – “Serve as a team leader for the Travel Team...” “Analyze, report... provide required data...” • Measurable – “Ensure that no more than 5% of the spot-checked vouchers contain more than two errors. Analyze and report on performance metrics monthly.” • Achievable – It is assumed the employee has the resources to accomplish this performance element. • Relevant – “In support of the Business Excellence Campaign #6, Goal 1, Performance Element 1.1...” • Timely – “Over the next 12 months.”

Number	SMART Performance Standard	Why it's SMART
5	<p>For every project to which you are assigned over the next fiscal year, provide high quality deliverables in the timeframe specified at the beginning of the project. Each deliverable must be produced according to applicable guidelines and procedures and may contain only minimal errors, as determined by supervisor review. As part of this objective, you must also develop a feasible draft personal work plan for each project that shows how you will accomplish the deliverables on time. This draft must be submitted to your supervisor within one week of receiving the project. You may work with your supervisor to finalize this plan.</p>	<ul style="list-style-type: none"> • Specific – “Provide high quality deliverables...” “Develop a feasible draft personal work plan...” • Measurable – “Each deliverable must be produced according to applicable guidelines and procedures and may contain only minimal errors, as determined by supervisor review.” • Achievable – It is assumed the employee has the resources to accomplish this performance element. • Relevant – Guidelines and procedures are referenced and it is assumed that this performance element aligns with larger organizational goals. • Timely – “Over the next fiscal year.”

6	<p>Identify one aspect of a current collection strategy that needs improvement. Independently research the issue and coordinate with collectors from other agencies to brainstorm and gather relevant information. Draft a report with at least two thoroughly detailed and realistic options for changes to the strategy that may mitigate the current problem. The recommendations must meet relevant laws and regulations. The report should have minimal editing errors, conform to the organizational format, and be submitted to your supervisor by June 30.</p>	<ul style="list-style-type: none"> • Specific – “Identify one aspect...” • Measurable – “Draft a report with at least two thoroughly detailed and realistic options for changes to the strategy...” • Achievable – It is assumed the employee has the resources to accomplish this performance element. • Relevant – “...that may mitigate the current problem.” • Timely – “...by June 30.”
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PERFORMANCE STANDARDS FACT SHEET

What are Performance Standards?

Performance standards are written expressions of the major work you do and describe the specific results you expect to accomplish during the year. Performance standards are specific to you, your work, and your position within the organization.

Performance Standards:

- Communicate major responsibilities or contributions and the related outcomes that are expected of you;
- Focus on the desired results of your work and describe expected outcomes;
- Align with the mission, goals, and priorities of your organization;
- Are appropriate to occupation and grade;
- Are documented in your performance plan;
- Are the basis for determining your final rating of record; and
- May change from year to year or within a year due to changing work focus or organizational goals.

The best practice is to have between three to five Performance Standards.

Creating Effective Performance Standards

An effective performance standard answers the following questions:

- What do I need to achieve? What result do I want to accomplish?
- How will achieving this job element help my organization? Is there a “line of sight” between the job element and my organization’s mission?
- Does the job element focus on a major component of work I am responsible for accomplishing within the period of performance?
- By when must I do this?
- How will I know if I am successful?
- What critical behaviors are expected?
- Is the job element appropriate to my occupation and grade level?
- Is the performance standard written to the “Fully Successful” level?

‘SMART’ and ‘TEAM’ are two models that provide a structure to help you answer these questions and create effective performance standards.



PERFORMANCE STANDARDS FACT SHEET

SMART

Specific: Your performance standard describes, clearly and concisely, what you expect to accomplish in the coming year.

Measurable: The result of your performance standard is observable or verifiable through appropriate quantity, quality, resources, or time measurements.

Achievable: Your performance standard shows a clear line of sight between your organization's mission and goals and your work.

Relevant: Your performance standard is challenging yet attainable, the outcome is within your control, and the expected results are appropriate to your responsibilities, occupation, and grade.

Timed: Your job element identifies realistic time-frames for completion.

Effective performance standards clearly identify performance expectations so you and your rating official have a shared understanding of the criteria against which the rating official evaluates performance. The performance standards describe the differences between expected levels of performance based on criteria such as the amount of guidance needed, effectiveness in achieving the performance standard, contributions, ability to prioritize work, and professional conduct.

An effective performance standard addresses the critical nature of the work to be performed, those tasks which, if not performed in accordance with the standards, lead to mission failure. While your rating official is responsible for developing your performance standards, it is in your own best interest to be involved in the development of your elements so that you understand what is expected of you. Work with your rating official (in person, if possible) to establish your performance expectations and performance standards. Communication is the key to reaching a shared understanding. Once your performance standards are established, a higher level reviewer approves them.

TEAM

Target: Your job element describes what you expect to accomplish and what the final product/ service/deliverable looks like.

Evaluation: Your job element clarifies the criteria against which you will be evaluated and describes the expected and appropriate levels of effort, expertise, complexity, and independence for successful completion.

Alignment: Your job element is linked to your organization's mission and goals with a clear line of sight with what you achieve in your work.

Measurement: The result of your job element is observable or verifiable and includes appropriate quantity, quality, resources, or time measurements.

PERFORMANCE STANDARDS FACT SHEET

Updating Your Performance Elements and Standards

Your performance standards may be updated and revised throughout the year to reflect changes in position, job responsibility, or work priorities. These changes most commonly occur during performance discussions, in which you and your rating official check for the continued relevance of each performance standard. Typically, performance standards are not changed 90 days prior to the end of the performance cycle so you have sufficient time to demonstrate accomplishment. Whenever new performance standards are added, they may need to be approved by a higher level reviewer, depending upon your local organization's policies.



PERFORMANCE MANAGEMENT PLANNING – ROLES AND RESPONSIBILITIES

The performance management Planning phase lays the foundation for successful performance. During the Planning phase, the employee and manager/supervisor discuss performance expectations, hold the required Performance Plan discussion, establish job elements, and determine developmental and training needs.

This checklist provides a guide for what employees and managers/supervisors need to accomplish during the Planning phase of the performance management cycle.

Required Accomplishments By the End of the Planning Phase:

- The employee's performance plan, including performance standards are created, reviewed, and shared with the employee.
- The manager/supervisor and employee have developed a shared understanding of the employee's performance expectations.

Tasks and Activities: Performance Plan Discussion Preparation Checklist

EMPLOYEE	MANAGER/SUPERVISOR
<input type="checkbox"/> Review your manager's/supervisor's job elements and the organization-al goals and priorities.	<input type="checkbox"/> Review the Agency's mission and your organization's goals and priorities
<input type="checkbox"/> Review any performance notes from last year's Annual Appraisal discussion to identify any developmental needs or discussed work priorities for the coming year.	<input type="checkbox"/> Review the employee's previous performance plan and position description
<input type="checkbox"/> Create a draft of your performance standards using the Cascading Goals Worksheet	<input type="checkbox"/> Communicate your organization's goals to the employee
<input type="checkbox"/> Participate in the Performance Plan discussion to discuss and finalize your performance standards	<input type="checkbox"/> Forward your performance standards to the employee so your employee can create aligned performance standards
<input type="checkbox"/> Enter or revise your performance plan in the Performance Appraisal Application (PAA)	<input type="checkbox"/> Review any performance notes from last year to identify any developmental needs or discussed work priorities for the coming year
<input type="checkbox"/> Forward your performance plan to your manager/supervisor for approval	<input type="checkbox"/> Craft the employee's performance standards and select appropriate
	<input type="checkbox"/> Enter or revise your employee's performance plan in the Performance Appraisal Application (PAA) the employee
	<input type="checkbox"/> Set a time and location for the Performance Plan discussion and invite the employee

Labor and Employee Relations Division

PERFORMANCE MANAGEMENT PLANNING – ROLES AND RESPONSIBILITIES

- Participate in a Performance Plan discussion with your employee to finalize job elements and develop a shared understanding of performance expectations
- Forward the performance plan to the higher level reviewer for approval.
- Provide the employee access to the approved performance plan in the PAA

A CHECKLIST FOR PERFORMANCE PLANS

This article provides a checklist of questions that may help supervisors and employees determine the effectiveness of the elements and standards they developed and whether those standards meet legal and regulatory requirements. The checklist contains questions about nine important criteria for employee performance plans that represent sound management principles as well as complying with regulations and Merit Systems Protection Board (MSPB) and court decisions:

- Are the elements truly critical?
- Is the meaning of acceptable performance clear?
- Are the standards attainable?
- Are the standards challenging?
- Are the standards fair?
- Are the standards applicable?
- Will employees understand what is required?
- Are the elements and standards flexible?
- Is the Fully Successful level surpassable?

If your program appraises elements at levels above the Fully Successful or equivalent level, is the Fully Successful or equivalent standard surpassable?

Are the critical elements truly critical?

Would failure on the critical element mean that the employee's overall performance is unacceptable? For instance, assigning generic critical elements to all employees, regardless of the type of work they do, can be risky if the generic element does not truly represent their work. As an example, if a medical organization required that every employee's performance plan include a critical element about teamwork, and its world-renowned research scientist, who independently made a scientific breakthrough, fails the teamwork element, would the organization be willing to rate the scientist as unacceptable? Although teamwork may be important to the organization, it may not be important in this particular job. Supervisors should assign critical elements carefully.

Is the meaning of acceptable performance clear?

Are the expectations established in the elements and standards quantifiable, observable, and/or verifiable? Expectations that are specific and that clearly define what must be done as well as how well it must be done are more effective for managing and directing performance than vague or general expectations. In addition, MSPB and the courts have ruled that employees must know what they have to do and how well they have to do it to perform at an acceptable level. Both sound management principles and court rulings support this key criterion.

A CHECKLIST FOR PERFORMANCE PLANS

Are the standards attainable?

Are expectations reasonable? MSPB and the courts have ruled that, in most instances, retention standards must not require absolute perfection. In addition, from a sound management perspective, research has shown that setting expectations that are impossible or nearly impossible to achieve can actually cause performance levels to drop because employees tend to give up if they perceive the goal as impossible.

Are the standards challenging?

Does the work unit or employee need to exert a reasonable amount of effort to reach the Fully Successful performance level? Or do they merely need to show up to work in order to be considered Fully Successful? Research has shown that setting expectations that are too easy (or too hard) lead to low performance. Because research also shows that specific, challenging expectations result in higher performance, the best Fully Successful or equivalent standards will find a balance between being too hard or too easy.

Are the standards fair?

Are they comparable to expectations for other employees in similar positions? Applying different standards to employees doing the same work does not appear on its face to be fair or valid. Requiring higher-level management review of standards for similar work across an organization might be one way of ensuring equity. Also, do the standards allow for some margin of error? Requiring perfection, especially at the retention level, is not fair in most instances.

Are the standards applicable?

Can the appraiser(s) use the standards to appraise performance? The standards should clearly describe the factors that the appraiser(s) would look for and how well those factors should be done (i.e., the quality, quantity, timeliness, and cost-effectiveness requirements). In addition, can the appraiser(s) effectively use the data collected through the measurement process? If monitoring performance on the element is too costly or time-consuming, the standard might need to be altered to include more manageable measures.

Will employees understand what is required?

If the standards are generic, have they been supplemented with specific information so that employees know what they have to do to demonstrate Fully Successful performance? Elements and their standards should be written clearly and be specific to the job.

A CHECKLIST FOR PERFORMANCE PLANS

Are the elements and standards flexible?

Can they be adapted readily to changes in resources or performance elements? Elements and standards can be modified during the appraisal period to meet changing organizational goals and other situations, as long as the employee works under the new standards for at least the minimum period established by the applicable appraisal program (generally between 60-120 days) before a rating of record is assigned. This flexibility allows performance plans to be used as management tools to manage employee performance on a day-to-day and week-to-week basis rather than as a bothersome, meaningless paperwork exercise that is done once a year and never referred to again.

Is the Fully Successful standard surpassable?

Is it possible for an employee's performance to exceed the standard? By including Fully Successful standards that cannot be surpassed, the performance plan effectively eliminates the higher assessments.

The benefits of following this checklist can be greatly enhanced by involving employees in the development of performance plans. By being involved, employees will have a better understanding of what is expected of them, will understand the terminology used, will understand how their performance will be measured, and will be more likely to accept and trust the whole process.

TIPS FOR ESTABLISHING PERFORMANCE PLANS

The following considerations should be made when developing performance elements:

- Performance elements should be developed by the supervisor and employee jointly, whenever possible.
- Set short-term goals with a long-term view. Elements are generally set for periods of a year or less.
- Identify critical issues and possible obstacles.
- Do not underestimate resource needs.
- Build in flexibility. Regular status updates and check-in meetings make it much easier to identify problems or shifts in priorities.

The following questions may help generate ideas for performance elements. Based on organizational goals:

- What impact should the employee's work have on the organization's mission?
- What can the employee do to improve the overall effectiveness of the organization?
- Has the employee suggested program or process changes that help the organization meet its objectives? If so, can the changes be completed during the appraisal cycle?
- What needs to be done to improve the quality of service? What refinements can be made to the organization's operations? What needs to be introduced or eliminated?
- What can be accomplished now that could not be achieved last year (due to increased resources, system modifications, changed priorities, updated skills, etc.)?
- What skills, processes, and products must be updated to meet demand?

When putting it all together, performance elements and standards clearly communicate specific expectations of job performance required to achieve mission success. Following are some additional points to consider when writing performance plans:

- Are the employee's performance goals aligned to the DoD and organizational mission and goals?
- Does the performance plan include critical elements? Are all the elements truly critical?
- Applicable only to non- code 4 supervisors: Do the number of supervisory performance elements equal or exceed the number of non-supervisory

TIPS FOR ESTABLISHING PERFORMANCE PLANS

- (technical) performance elements?
- Are the elements and standards clear and understandable?
 - Are the standards written using the SMART criteria (**S**pecific, **M**easurable, **A**chievable, **R**elevant, and **T**imely)?
 - Are the standards “absolute” or “backward”? (“Absolute” standards should generally be avoided. “Absolute” standards should only be used when a failure to perform could result in serious injury, loss of life, breach of national security, or great monetary loss. “Backward” standards should never be used.)
 - Do the standards include specific measures (e.g., quality, quantity, timeliness, and cost-effectiveness)?
 - Is the performance standard written to the “Fully Successful” level?
 - Does the performance standard adequately communicate expectations to the employee?
 - Have the written performance standards been evaluated? Was the performance plan updated as needed?

SMART STANDARDS

Performance standards are written as descriptions of how employees are expected to achieve their work. The following are examples of **S**pecific, **M**easurable, **A**chievable, **R**elevant, and **T**imely performance standards, as well as some that are not so SMART:

SMART	Not so SMART
<ul style="list-style-type: none"> • Develop a plan to ensure that work is delivered on time so that 90% of set deadlines are met this fiscal year and that the manager/supervisor is informed in advance of deadlines that may not be met. • Create procedures, tools, and practices to ensure that all team members are aware of priorities, deliverables, deadlines and any changes. Reduce failures due to communication errors to five percent by December. • Take advanced-level Excel training in September and incorporate new skills into deliverables on an ongoing basis. • Provide accurate and relevant information to call center clients in a manner consistent with published 	<ul style="list-style-type: none"> • Meet all deadlines set by manager/supervisor. • Improve communication within the team. • Improve skills in Excel to meet job requirements. • Answer calls that come into call center and respond to callers as



TIPS FOR ESTABLISHING PERFORMANCE PLANS

service standards.

- Develop a risk-based plan for nuclear facility inspections for the coming fiscal year, targeting 100% completion of high-risk premises and a minimum of 20% completion of low-risk premises, and inspect in accordance with regulatory requirements and guidelines. Note this is an appropriate “absolute standard” because a failure to perform could result in serious injury, loss of life, breach of national security, or great monetary loss.
- By February 28, 20XX, deliver three briefings to key stakeholders regarding the new security initiative within the unit, and prepare a detailed report on the feedback received.
- Solicit updates and new material for the intranet site from within the Division and from key client groups. Develop new material and obtain approval by January 1, 20XX. Publish approved material by March 31, 20XX, and delete or archive material that is out of date.
- Ensure mandatory training of all staff on the safe operation of equipment. Develop a tracking system to monitor staff completion of training and the potential need for refresher training in accordance with best practices. Ongoing.

appropriate.

- Plan and inspect regulated premises.
- Prepare security briefings.
- Maintain the Division’s intranet site.
- Provide mandatory training on the safe operation of equipment.

Performance Standards - Action Verb Tip Sheet

Appropriate verb usage can help make performance standards clearer. Using words to fully and accurately describe your accomplishments enhances shared understanding between you and your manager/supervisor and establishes a framework for discussions about your performance. Listed below are descriptive verbs commonly associated with specific skills. These lists are not exclusive or exhaustive, so feel free to add your own verbs. These verbs are also useful when describing accomplishments at the end of the year.

SKILLS	EXAMPLES OF ASSOCIATED ACTION VERBS
Management/Leadership Skills	Achieve, administer, arrange, articulate, assign, attain, author, chair, compete, conceive, conduct, contract, convene, coordinate, create, delegate, design, develop, direct, earn, effect, employ, execute, facilitate, initiate, institute, instruct, intervene, invent, investigate, manage, master, model, organize, oversee, plan, present, preside, protect, recommend, regulate, represent, resolve, shape, solve, specify, supervise
Research & Writing Skills	Analyze, annotate, appraise, assess, author, brief, calculate, catalogue, categorize, chart, code, collect, compare, compile, compose, compute, conduct, consolidate, contact, correspond, create, critique, define, derive, design, determine, develop, devise, diagnose, direct, discover, dispense, display, distribute, draft, edit, elicit, estimate, evaluate, examine, exhibit, expand, experiment, explore, forecast, formulate, identify, illustrate, inquire, inspect, interpret, interview, inventory, investigate, measure, model, observe, outline, predict, present, process, produce, publish, question, record, regulate, report, reproduce, research, review, revise, search, solicit, solve, study, summarize, survey, synthesize, test
Teamwork & Interpersonal Skills	Articulate, arrange, brief, clarify, collaborate, communicate, contact, convene, coordinate, delegate, elicit, employ, encourage, enlist, exchange, explain, facilitate, foster, influence, initiate, inquire, instruct, interpret, interview, introduce, mediate, motivate, negotiate, participate, represent, resolve, respond, shape, share, solicit
Financial Skills	Acquire, activate, administer, analyze, apply, assess, brief, calculate, catalogue, categorize, code, compile, compute, conduct, define, deliver, derive, design, develop, devise, draft, formulate, implement, inspect, install, master, monitor, operate,

Performance Standards - Action Verb Tip Sheet

SKILLS	EXAMPLES OF ASSOCIATED ACTION VERBS
	process, program, protect, provide, publish, record, regulate, repair, report, reproduce, respond, search, share, simulate, solve, test, train, translate, tutor, update, write
Technical Skills	Acquire, activate, administer, analyze, apply, assess, brief, calculate, catalogue, categorize, channel, code, compile, compute, conduct, define, deliver, derive, design, develop, devise, draft, formulate, implement, inspect, install, master, monitor, operate, process, program, protect, provide, publish, record, regulate, repair, report, reproduce, respond, search, share, simulate, solve, support, test, train, translate, tutor, update, write
Teaching/Training Skills	Adapt, advise, assign, coach, collaborate, communicate, conduct, counsel, critique, demonstrate, design, develop, direct, educate, encourage, evaluate, examine, facilitate, guide, implement, inform, inquire, institute, instruct, introduce, investigate, judge, lecture, model, monitor, motivate, organize, outline, participate, perform, persuade, plan, prepare, prescribe, present, program, report, research, respond, review, revise, rewrite, schedule, teach, train, tutor
Sales & Public Relations Skills	Articulate, communicate, contact, convene, correspond, deliver, demonstrate, develop, dispense, display, earn, entertain, exhibit, expand, facilitate, formulate, increase, inform, introduce, inventory, locate, maintain, market, promote, publicize, purchase, recommend, recruit, represent, respond, route, schedule, shape, share, solicit, survey
Administrative/Detail Skills	Administer, arrange, assemble, brief, catalogue, categorize, code, collect, compile, contact, coordinate, correspond, distribute, edit, execute, group, identify, inventory, locate, monitor, regulate, respond, retrieve, schedule, summarize, update, verify



Labor and Employee Relations Division

PERFORMANCE PLANNING QUESTIONNAIRE FOR EMPLOYEES

Prior to developing your job elements, you may want to begin by having a conversation with your manager/supervisor to clarify your understanding of work unit and organizational goals. This can help you write targeted and more closely aligned job elements. Use this questionnaire as a starting point for that discussion.

Before the meeting:

- Request a 15-30 minute meeting with your manager/supervisor.
Review your performance ratings and employee input from previous year(s) (if applicable).
Prepare a list of questions using this list below as a starting point.

1. What do you see as my priorities for this performance period? What are your expectations of my performance?

Horizontal lines for writing answer to question 1.

2. What do you see as growth opportunities for me this performance cycle?

Horizontal lines for writing answer to question 2.

3. What do you see as our major initiatives as a unit/organization/team?

Horizontal lines for writing answer to question 3.

4. What mission or strategic goal statement should I to use to align with your goals?

Horizontal lines for writing answer to question 4.

5. What accomplishments would make the greatest contribution during this performance period?

Horizontal lines for writing answer to question 5.

6. Is there a format or method you prefer that I use (bullets/paragraphs, SMART/TEAM)?

Horizontal lines for writing answer to question 6.

7. What should I do if I find that I cannot complete a task as required?

Horizontal lines for writing answer to question 7.



PERFORMANCE PLAN DISCUSSION CHECKLIST

During the Performance Plan discussion, the employee and manager/supervisor meet to develop a shared understanding of performance expectations for the coming performance period. The performance plan must be completed within 30 days after the start of the performance cycle or the employee's placement in new position. Before you participate in the Performance Plan discussion, review this checklist to make sure you are fully prepared for the discussion.

Performance Plan Discussion Checklist

EMPLOYEE	MANAGER/SUPERVISOR
<input type="checkbox"/> Request a copy of the organization's goals and the Agency's mission from your manager/supervisor	<input type="checkbox"/> Provide the organizational goals and the Agency's mission to the employee in advance of the conversation. Prepare to help your employee understand the direct link between his or her work and goal/mission achievement
<input type="checkbox"/> Complete the <i>Cascading Goals Worksheet</i> to help you understand the alignment of organizational goals to your work.	<input type="checkbox"/> Review the employee's performance plan from the previous year
<input type="checkbox"/> Review the <i>Performance Planning Interview</i> for key questions to ask your manager/supervisor	Clearly define in your own mind and be prepared to discuss your employee's expected performance and priorities over the next year. Be prepared to discuss the following: <ul style="list-style-type: none"> <input type="checkbox"/> • Work priorities <input type="checkbox"/> • Specific tasks the employee should accomplish in order to successfully meet the performance standards <input type="checkbox"/> • Timelines for completing tasks and any noteworthy milestones

PERFORMANCE PLAN DISCUSSION CHECKLIST

EMPLOYEE

Write down your questions about your performance expectations so that you can discuss these items during your conversation. Be sure to ask about the following:

- Your organization's goals and priorities
 - Your work priorities
 - Specific tasks you should accomplish in order to successfully meet your performance standards
 - Timelines for completing your tasks and any noteworthy milestones
- Tasks that have yet

- Consider your developmental needs or interests, and any potential barriers to success or challenges that you anticipate encountering.

MANAGER/SUPERVISOR

- Consider the employee's developmental needs or interests, and any potential barriers to success or challenges that you anticipate the employee might encounter



NEW BEGINNINGS

Lesson 4: Continuous Feedback

DPMAP Rev.2
July 2016



NEW BEGINNINGS

Leadership hiring **NEW BEGINNINGS** SERVICE **Pride** readiness WORKFORCE PLANNING **Ownership** Supervisor Performance communication Guides **FOCUS** EXCELLENCE accountability MENTORING **PERFORMANCE** Commitment training mission Teamwork Rewards

Department of Defense **DCP&S** *It's NOT about the 365th day* DPMAP Rev.2 July 2016 (82)



Learning Objectives

Upon completion of this lesson, you will be able to:

- Define the role continuous feedback plays in successful performance management.
- Identify behaviors that promote a constructive performance feedback session.
- Explain how helpful performance feedback is beneficial for supervisors and employees.
- Give examples of how to provide effective performance feedback.

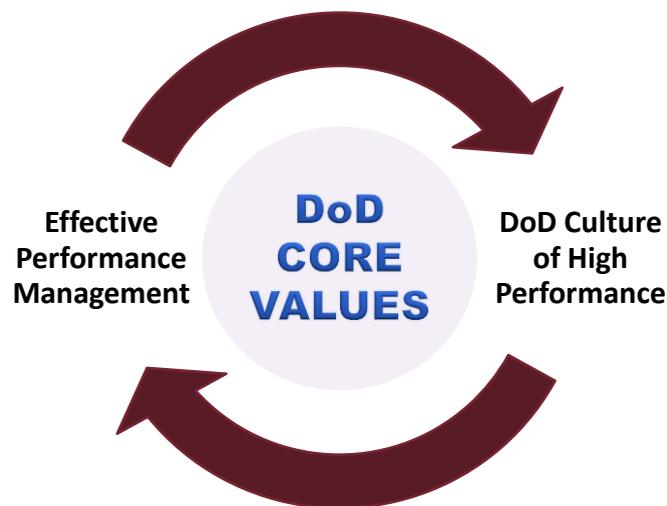


It's NOT about the 365th day

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Changing The Way We Do Business



It's NOT about the 365th day

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July 2016
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NEW BEGINNINGS **Trust Behaviors**

- Trust between supervisor and employees is essential in high-performing organizations and a key part of effective performance management.
- Trust behaviors to consider:

Engaging and Motivating	Sharing of Information	Planning Work	Assigning and Managing Work
Finding Solutions and Removing Barriers	Providing Continuous Feedback	Appraising Performance	Managing Talent

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NEW BEGINNINGS **Relationship Between Effective Performance Management and Performance Feedback**

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graph TD; Frequent --> PFB((PERFORMANCE FEEDBACK)); Timely --> PFB; Meaningful --> PFB; Continuous --> PFB; TwoWay[Two-Way] --> PFB;
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It's NOT about the 365th day DPMAP Rev.2 July 2016 (86)



What is Performance Feedback ?

Performance feedback is the two-way, meaningful exchange of information between supervisors and employees regarding performance expected and performance exhibited.



It's NOT about the 365th day

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Why Is Feedback Important?

- Beneficial for both supervisors and employees
- Promotes an understanding of the issue/topic/concern
- Makes the other person aware of one's perspective

Performance Context	Developmental Context	Personal Context
Feedback provides employees and supervisors with the other's perspective of what's working (or not)	Feedback provides opportunities to improve competence, to learn, and to progress in careers	Feedback can improve the quality of relationships



It's NOT about the 365th day

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NEW BEGINNINGS **Examples of Effective Feedback Techniques**

TYPE	EXPLANATION	EXAMPLE
"When you ..."	State specific facts of behavior - (non-judgmental).	???
"I'm concerned ..."	Describe how behavior affected you or the office.	???
"Because I ..."	State why the observed behavior affected you in this way.	???
Pause and listen for response	Ask if the other person has ideas about what to do. Give the other person an opportunity to respond.	???
"I would like ..."	Describe what change you want the other person to consider.	???
"Because ..."	State why the change is needed.	???
"What do you think ..."	Listen to response. Discuss options and compromise on a solution, if necessary.	???

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NEW BEGINNINGS **Center for Creative Leadership's (CCL) Situation-Behavior-Impact Feedback Model**

The diagram illustrates the CCL Situation-Behavior-Impact Feedback Model. It consists of three main components arranged in a cycle:

- SITUATION** (Blue box):
 - The When/Where
 - Be as specific as you can
- BEHAVIOR** (Maroon box):
 - What did you see?
 - Describe without judgement
- IMPACT** (Green box):
 - What did the behavior cause?
 - Make the experience internal to individual

Arrows indicate a clockwise flow from Situation to Behavior, Behavior to Impact, and Impact back to Situation.

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NEW BEGINNINGS **SBI Example #1**

Situation: Joe, in last week's performance discussion, while I was sharing my accomplishments,

Behavior: you picked up your phone and started texting.

Impact: I felt like our discussion was not important enough for you to give me your full attention.

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NEW BEGINNINGS **SBI Example #2**

Situation: Carmen, at Monday's budget meeting,

Behavior: you ensured that the meeting started on-time and that everyone had the correct handouts in advance.

Impact: All of your research was correct, and all meeting member questions were correctly answered. You did an excellent job and made us all look really good. Thanks for all of your hard work!

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NEW BEGINNINGS **Exercise - Now You Try It**

- Using the SBI Model handout, partner up with someone or form a small group and write an example of effective feedback that you might give based on each scenario.



The diagram illustrates the SBI Model as a horizontal flow. It consists of three rounded rectangular boxes: a blue box on the left labeled 'Situation', a dark red box in the middle labeled 'Behavior', and a green box on the right labeled 'Impact'. These boxes are connected by a large, light gray arrow pointing from left to right, set against a dark blue background.

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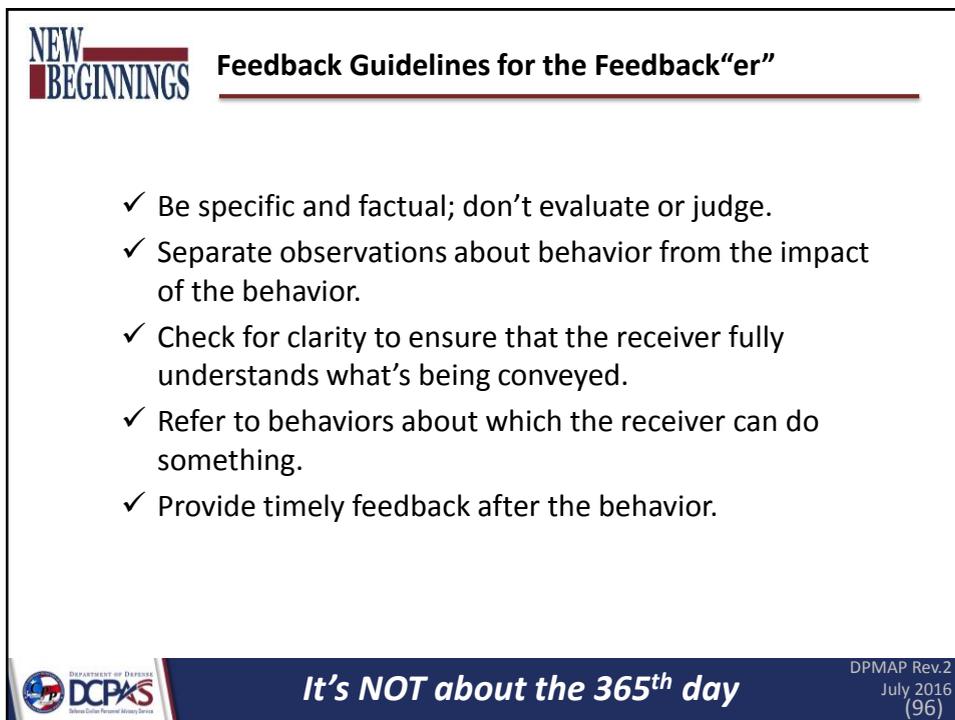
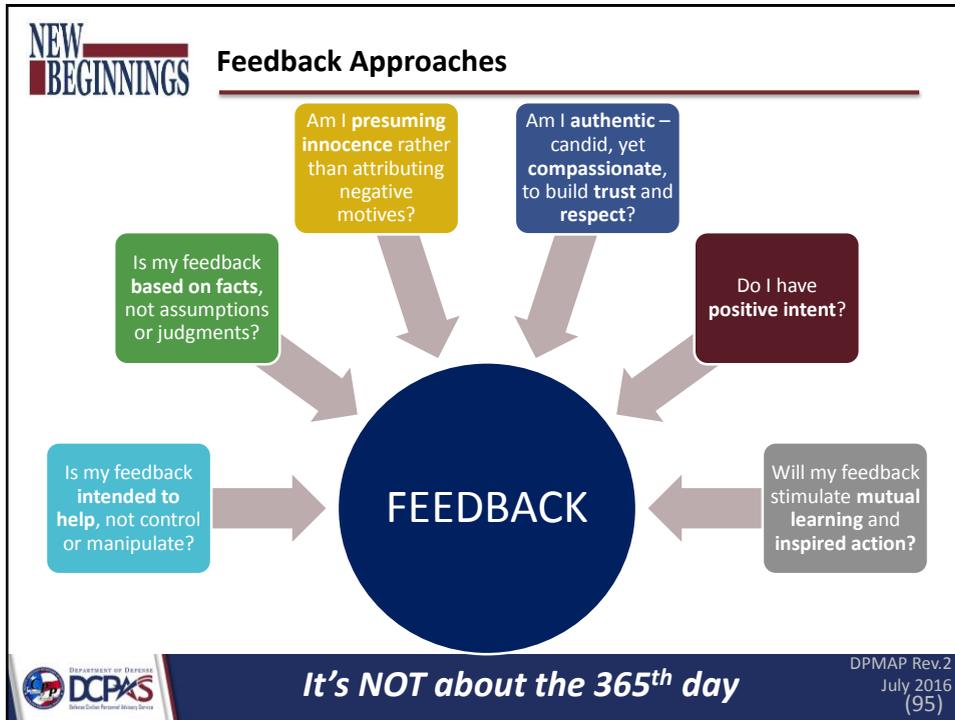
NEW BEGINNINGS **Giving and Receiving Feedback**

- What are some difficulties in giving feedback to employees on their performance?
- What are some difficulties in receiving feedback?
- What is the most important part of giving performance feedback?
- Why is it important to receive feedback?
- What are some ideas for overcoming challenges of giving and receiving feedback?

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NEW BEGINNINGS **Feedback Guidelines for the Feedback“ee”**

- ✓ Just Listen
- ✓ Don't interrupt
- ✓ Don't get defensive
- ✓ If things get awkward or too emotional, don't respond and ask for a break. But be sure to re-connect with person giving feedback.



“Thank you for the feedback.”

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NEW BEGINNINGS **Feedback Practice**

- Partner with someone on the team to offer positive feedback based on an experience you had with that person.



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Learning Objectives Review

You should now be able to:

- Define the role continuous feedback plays in successful performance management.
- Identify behaviors that promote a constructive performance feedback session.
- Explain how helpful performance feedback is beneficial for supervisors and employees.
- Give examples of how to provide effective performance feedback.



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Questions

- Are there any questions?



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Additional Resources

- National Defense Authorization Act for Fiscal Year 2010 *Section 1113(d)* (Washington D.C.: November 2011)
- DODI 1400.25, Volume 431, *DoD Civilian Personnel Management System: Performance Management and Appraisal Program*.
- DODI 1400.25, Volume 451, *DoD Civilian Personnel Management System: Awards*.
- DCPAS Resources and References web site:
<https://www.cpmo.osd.mil/Subpage/NewBeginnings/ResourcesReferences/>
- DCPAS HR Toolkit:
<https://dodhrinfo.cpmo.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Performance-Management/Pages/PM-Guides-TipSheets-Checklists.aspx>
- DCPAS LERD web site
<https://dodhrinfo.cpmo.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Pages/Home1.aspx>
- Center for Creative Leadership (CCL) with Karen Kirkland and Sam Manoogian. *Ongoing Feedback: How to Get It, How to Use It (1st Edition)* (Greensboro: Pfeiffer, 2007)
- Center for Creative Leadership (CCL) with Raoul J. Buron and Dana McDonald-Mann. *Giving Feedback to Subordinates (1st Edition)* (Greensboro: Pfeiffer, 2007)
- Corporate Leadership Council. *Building the High-Performance Workforce: A Quantitative Analysis of the Effectiveness of Performance Management Strategies* (Washington D.C.: Corporate Executive Board, 2002)
- Crane, Thomas G. *The Heart of Coaching (4th Edition)* (San Diego: FTA Press, 2007)

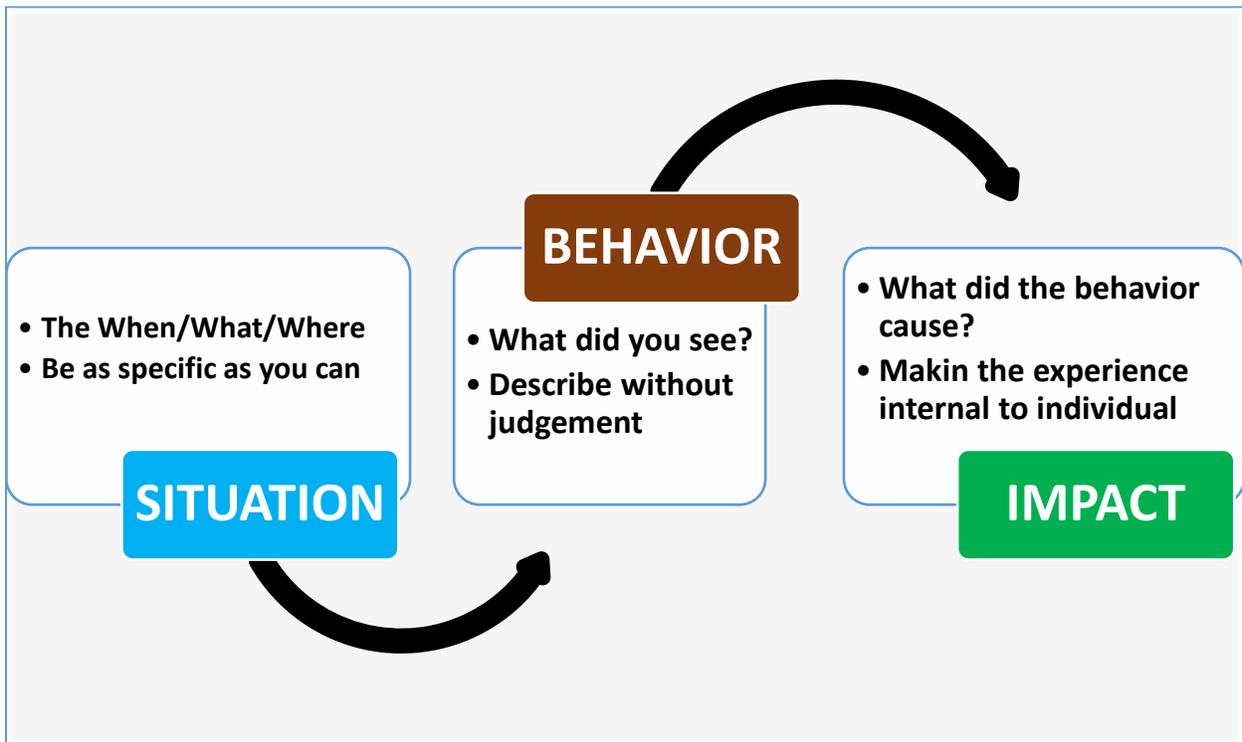


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Situation – Behavior – Impact (SBI) Feedback

Effective feedback can help the receiver understand exactly what he or she did and what impact it had on you and others. When the information is specific, yet without interpretation or evaluation, there is a better chance that the person getting the feedback will be motivated to begin, continue, or stop behaviors that affect performance.



CLARIFY YOUR INTENT:

What are you hoping to accomplish by giving feedback? You may or may not disclose this to the feedback receiver; it is a judgment call.

LESSON 4 SBI EXERCISE SCENARIOS



SBI Scenario #1

You are a team leader in your organizations Operations Department. The department recently hired Louis however he has been struggling to get up to speed as a team member. This afternoon, during a work session, you saw John raise his voice and act irritated when Louis asked you about a piece of equipment he had never used before. Louis was surprised and visibly upset by the outburst. As a result, Louis has become disengaged and stopped talking to others on the team. You are concerned because your team's performance is already down and you really need everyone working together to get the team back on track. It is easy to see that the struggles of Louis, coupled by John's irritable responses to Louis' questions are negatively impacting the team. Your job, as team leader, is to use provide SBI-based feedback to John.

SBI Scenario #2

You are the Logistics Department Branch Chief. Your branch was awarded the Agency Excellence Award for consistently exceeding agency productivity quotas for the previous year. While this award is a reflection on the entire branch, one of your invoice clerks, Janet, consistently processes twice as many invoices as the next closest member of the team and all without error. Additionally, she has been mentioned by name in higher level meetings, so you know her efforts are recognized outside the branch. You want to let her know that you recognize and appreciate her exceptional work effort. Your job, as branch chief, is to give SBI based feedback to Janet.

POTENTIAL RESPONSES TO THE SCENARIOS



NOTE: The following are suggested responses to the scenarios. There may be others.

SBI Feedback #1

“John, after lunch today when Louis asked you for help, you seemed irritated that he needed some advice on a new piece of equipment. You were short with him and it didn’t seem like you had a good reason for going off on him. Now Louis feels shut down and has stopped asking anyone on the team for help, which means our team will continue to underperform and not meet our goals, while we work on getting Louis up to speed and a fully performing of the team.”

SBI Feedback #2

“Janet, I have been doing a monthly review of our invoice processing stats. You work hard and produce error-free, timely products that exceed the standards set in your performance plan. I hear praise from your co-workers, the Branch and even higher levels in the Agency about the quality and efficiency of your work.”



NEW BEGINNINGS

Lesson 5: Monitoring Performance

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NEW BEGINNINGS

Leadership hiring **NEW BEGINNINGS** **Ownership** **PERFORMANCE** **FOCUS** **MISSION** **REWARDS** **MENTORING** **COMMITMENT** **EXCELLENCE** **TOOLS** **TEAMWORK** **ACCOUNTABILITY** **TRAINING** **COMMUNICATION** **GUIDES** **PRIDE** **READINESS** **WORKFORCE PLANNING** **SERVICE**

Department of Defense **DCP&S** Defense Career Professional Development

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Learning Objectives

Upon completion of this lesson, you will be able to:

- Identify key aspects of the Monitoring Phase.
- Explain the value of monitoring performance continually.
- Explain the process used to address performance issues.
- Identify elements of a formal Performance Improvement Plan (PIP).



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Performance Management

- Performance management is an ongoing process consisting of:
 - **Planning** work and setting expectations
 - **Monitoring** performance continually
 - **Evaluating** performance in a summary fashion
 - **Recognizing and rewarding** good performance



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NEW BEGINNINGS **Monitoring Performance**

Monitoring

The ongoing assessment of performance compared to the stated expectations and ongoing feedback to employees on their progress toward reaching their goals

DODI Instruction 1400.25, Vol. 431

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NEW BEGINNINGS **Monitoring Performance**

Monitoring Phase

- Two-Way Communication
- Emphasize Organizational Goals
- Frequent Performance Discussions
- Focus on Performance
- Timely Recognition and Rewards
- Early Detection of Performance Issues

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NEW BEGINNINGS Monitoring Phase Roles and Responsibilities

Supervisors

- ✓ Continuously communicate; provide encouragement, meaningful feedback, and recognize accomplishments.
- ✓ Provide employees an opportunity to highlight their successes relative to the performance elements and standards.
- ✓ Identify needed changes to performance elements as appropriate.
- ✓ Review IDPs to identify development opportunities.
- ✓ Identify employee's skills and abilities, and look for opportunities to further develop them.
- ✓ Document performance discussions.
- ✓ Recognize and reward performance throughout the performance appraisal cycle.

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NEW BEGINNINGS Monitoring Phase Roles and Responsibilities

Employees

- ✓ Ask questions.
- ✓ Engage in self-development.
- ✓ Keep supervisor informed on outcomes.
- ✓ Provide input during performance discussions.
- ✓ Identify changes to performance elements as appropriate.
- ✓ Identify challenges impeding ability to be successful.
- ✓ Work with supervisor to find solutions to barriers to success.
- ✓ Keep a record of their accomplishments so that they are able to discuss them throughout the cycle.

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Effective Communication

Effective communication includes *two-way, ongoing, and meaningful feedback* that contributes to the overall success of the employee and the organization.

- Individual performance expectations are linked to organizational goals.
- Each employee is responsible for individual success.
- Employees and supervisors openly discuss individual performance goals and expectations.



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Elements of Effective Communication

What are the elements of effective communication between supervisors and employees?

- Continuous, meaningful feedback on employees' strengths and areas for improvement
- Guidance on employees' projects and responsibilities
- Active listening
- Expanded perspective for supervisor



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Upward Feedback

Upward feedback from employee to supervisor can benefit both *supervisors and employees* in an effective performance management program.

- **Upward feedback:**
 - ✓ Strengthens working relationships between supervisors and employees
 - ✓ Improves two-way communication
 - ✓ Increases morale and job satisfaction
 - ✓ Enhances organizational goal achievement
 - ✓ Identifies and helps to remove barriers
 - ✓ Encourages proactive engagement
 - ✓ Allows for jointly consideration of the bigger picture



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Discussion: Benefits of Continuous Performance Conversations

- What are the benefits of having continuous performance discussions?



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Exercise: Informal Feedback Session Gone Wrong Video



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Exercise: Informal Feedback Session Gone Right Video



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NEW BEGINNINGS **Barriers to Performance Success**

Internal

- Motivation, perception, competence, work-life imbalance . . .

External

- Resources, training and development, unclear standards, lack of meaningful feedback . . .

Systemic

- Disparate treatment, lack of supervisor accountability, inconsistent recognition and award system . . .

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NEW BEGINNINGS **Small Group Exercise: Overcoming Barriers**

- Break into small groups.
- List three barriers employees may face in achieving a fully successful or above rating.
- For each barrier identified, suggest a mitigating action.
- Be prepared to share your work with the rest of the class.



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Revise the Performance Plan in the Monitoring Phase

Revise when:

- ✓ Organizational goal or mission changes
- ✓ Assignment(s), position, or duties change
- ✓ Outside influences beyond an employee's control make the original performance standards unachievable
- ✓ Assumptions about what can be reasonably achieved during the performance appraisal cycle changed

NOTE: *Minimum 90 day employee monitoring period for new/changed elements per DoDI 1400.25-V431, Para. 3.2.d*



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Avoiding Year-End Surprises

- Continuous performance discussions help ensure clear understanding of outcomes at the final performance appraisal discussion.
- The overall goal is mutual understanding between employee and supervisor helps eliminate surprises at the final performance appraisal discussion.



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NEW BEGINNINGS **Communicating Achievements**

- Employee input is strongly encouraged to ensure supervisors have a full range of information when evaluating employee accomplishments.
- Employee input should:
 - Identify accomplishments in a clear, concise manner.
 - Describe how accomplishments relate to the performance elements and standards.
 - Demonstrate how accomplishments contributed to organizational goals.



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NEW BEGINNINGS **Exercise: Sample Discussion Questions**

- Sample discussion questions can be found in the following documents:
 - *Sample Performance Discussion Questions for Supervisors to Ask Employees*
 - *Sample Performance Discussion Questions for Employees to Ask Supervisors*
- Find a partner
- Complete role-playing scenarios for each section of the sample discussion

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NEW BEGINNINGS **Addressing Issues: Informal Feedback**

- First step in addressing performance issues
- Informal feedback may take several forms
- Steps for effective informal feedback are:
 - ✓ State what has been observed using facts, not emotions
 - ✓ Describe how the performance fails to meet standards
 - ✓ Wait for a response (let them talk)
 - ✓ Ask for a solution; give suggestions if needed
 - ✓ Agree on a solution together
 - ✓ Set a follow-up date and time

Make sure you document everything!

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NEW BEGINNINGS **Checklist: Communicating Performance Expectations**

- ✓ Are you sure the issue is primarily a performance problem (as opposed to misconduct)?
- ✓ Have you communicated performance standards to the employee?
- ✓ Are the standards clear and reasonable?
- ✓ Have you asked the human resources staff to review the standards for any possible problems?
- ✓ Have you given the employee specific examples of when their work did not meet the standards?

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NEW BEGINNINGS **Early Intervention Is Key**

- Feedback and assistance should be provided to employees early on, whenever there is a need for improvement or when there is a decline in performance.
- What actions should be taken?



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NEW BEGINNINGS **Steps to Addressing Performance Issues**

1. Clearly identify unacceptable performance
2. Offer assistance
3. Provide an opportunity to improve



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Exercise: What Would You Do? Video – Part 1



*Performance Management is a COLLABORATION
between Supervisors and Employees*

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Exercise: What Would You Do? Video – Part 2



*Performance Management is a COLLABORATION
between Supervisors and Employees*

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NEW BEGINNINGS **Steps to follow for Addressing Performance Issues**

- Provide scheduled performance discussions;
- Identify and document performance deficiencies;
- Counsel employee on performance deficiencies;
- Provide time for improvement;
- If still unacceptable, consider a PIP;
- If still unacceptable, personnel action may result.

***NOTE: refer to Collective Bargaining Agreements, and contact HR before taking this step**

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NEW BEGINNINGS **How Employees Can Improve Performance?**

- ✓ Ask clarifying questions.
- ✓ Ask for specific examples of “Fully Successful” performance.
- ✓ Request additional job-related training or assistance.
- ✓ Adhere to responsibilities outlined in the PIP document; actively seek assistance when needed.

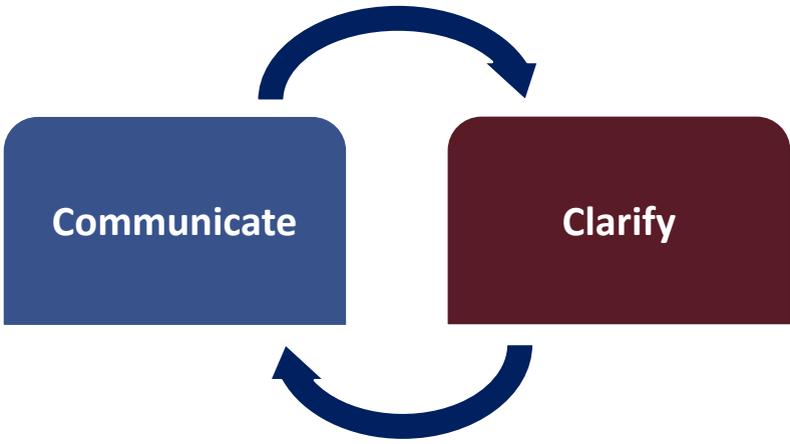
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NEW BEGINNINGS **Exercise: What Would You Do? Video – Part 3**



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NEW BEGINNINGS **Communication and Clarification**



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NEW BEGINNINGS

Formal Feedback: 8 Tips for Effective Counseling Sessions

1. Clearly communicate what acceptable performance looks like
2. Conduct the counseling session in an appropriate setting
3. Plan for enough time and document the session
4. Make sure the employee understands performance expectations
5. Focus on the performance issues
6. Leave emotions out of the conversation
7. Seek cooperation, NOT confrontation
8. The mutual goal is to improve the employee's performance

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NEW BEGINNINGS

Formal Feedback – Writing the PIP

The Performance Improvement Plan (PIP) must include, in writing:

- Element(s) in which performance is “Unacceptable” and a description of the unacceptable performance
- A description of what acceptable performance looks like
- The time allowed for the opportunity to improve
- A statement of the possible consequences of failure to improve during the opportunity period
- The assistance the Agency is offering the employee to improve unacceptable performance

If the employee fails to demonstrate performance at the “Fully Successful” level despite the PIP, the employee may be reduced in grade or removed from Federal Service

CALL EMPLOYEE RELATIONS FOR GUIDANCE PRIOR TO INITIATING A PIP

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NEW BEGINNINGS **Exercise: Improving Performance Case Study**

- Break into small groups.
- Review the case study and discuss with your group appropriate methods for immediately addressing performance that deviates from an acceptable level.
- Be prepared to share your work with the rest of the class.



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NEW BEGINNINGS **Importance of Taking Immediate Action**

- Failure to take immediate action with employee issues could mean:

<p>Damaging Office Morale</p> <ul style="list-style-type: none"> • Creates issues with other employees; projects image of ineffective leadership from supervisor 	<p>Performance Issues</p> <ul style="list-style-type: none"> • Performance issues may be symptoms of underlying disciplinary problems
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NEW BEGINNINGS **Preventative Actions**

Communicate clear performance standards and expectations to employees

Reward and recognize good performance, informally and formally

Provide continuous, meaningful feedback on performance

Make full use of the probationary period for new employees

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NEW BEGINNINGS **Learning Objectives Review**

You should now be able to:

- Identify key aspects of the Monitoring Phase.
- Explain the value of monitoring performance continually.
- Explain the process used to address performance issues.
- Identify elements of a formal Performance Improvement Plan (PIP).

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Questions

➤ Are there any questions?





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Additional Resources

- DODI 1400.25, Volume 410, *DoD Civilian Personnel Management System: Training, Education, and Professional Development*.
- DODI 1400.25, Volume 431, *DoD Civilian Personnel Management System: Performance Management and Appraisal Program*
- DODI 1400.25, Volume 451, *DoD Civilian Personnel Management System: Awards*.
- Learning and Development Roundtable. *Boosting the Effectiveness of Frontline Management* (Washington D.C.: Corporate Executive Board, 2009).
- U.S. Department of Defense, *Report of the New Beginnings Design Teams: Proposals and Recommendations for the Design of Personnel Authorities in Section 1113(d) of the National Defense Authorization Act for Fiscal Year 2010* (Washington D.C.: November 2011)
- U.S. Merit Systems Protection Board, *A Call to Action: Improving First-Level Supervision of Federal Employees*, (Washington D.C.: Government Printing Office, 2010).
- DCPAS LERD web site:
<https://dodhrinfo.cpmosd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Pages/Home1.aspx>
- DCPAS Resources and References web site:
<https://www.cpmosd.mil/Subpage/NewBeginnings/ResourcesReferences/>
- DCPAS HR Toolkit:
<https://dodhrinfo.cpmosd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Performance-Management/Pages/PM-Guides-TipSheets-Checklists.asp>



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Improving Performance Case Study

Instructions: Break out into small groups to review your case study and discuss the appropriate methods for immediately addressing performance that deviates from an acceptable level. Ensure you discuss different levels of performance deficiencies, from trivial to serious.

Improving Performance Case Study:

You are a supervisor with a team of eight employees. Four of your employees are demonstrating behavior that should be addressed immediately before it becomes a performance issue. Read over the facts and discuss with your group the performance improvements needed for each employee. Then come up with a strategy for addressing each employee's performance.

Employee 1:

- ✓ GS-5 with 2 years of experience.
- ✓ Employee just had her first child.
- ✓ Employee hasn't received training recently and is apprehensive about the new document managing systems.
- ✓ The last rating was fully acceptable, but the current supervisor thinks that rating was higher than it should be.
- ✓ The employee recently has demonstrated problems with tardiness and at times has shown a negative attitude toward her superiors.

Employee 2:

- ✓ GS-9 with 15 years of service.
- ✓ Employee has attended all provided training.
- ✓ While the employee's performance in the past was good, the quality has consistently declined.
- ✓ The supervisor used to be able to rely on this employee. However, recently the supervisor believes that the employee is not as reliable (both in terms of quality of performance and timeliness in submitting assignments).
- ✓ The supervisor is finding it difficult to communicate her expectations to the employee.

Employee 3:

- ✓ GS-9 who recently came over from a different Federal agency.
- ✓ Employee has had trouble adjusting to the culture at the new location.
- ✓ At the end of the last cycle, the employee missed one deadline, but still completed the work.
- ✓ The employee seems to think that she is on an island and has no support. Likewise, the employee does not support her coworkers.

Employee 4:

- ✓ GS-7 who was just hired out of school.
- ✓ Employee has never before worked in an office setting.
- ✓ There have been complaints about the employee regarding unprofessional behavior.
- ✓ The work the employee submitted has been satisfactory, but could be better.

Sample Performance Questions for Supervisors to Ask of their Employees

A supervisor's goal in starting a performance discussion is to create trust and put the employee at ease. Discretion and judgment must be used in determining which of the questions below are appropriate for a particular performance discussion.

PAST PERFORMANCE	SATISFACTION WITH WORK AND WORK ENVIRONMENT
<ul style="list-style-type: none"> • Let me tell you some of the things I think you've done particularly well (be specific). For example: <ul style="list-style-type: none"> – You take initiative, as in the XYZ project. – You identify and help solve problems. – You do a good job of keeping me and your colleagues informed. – You are willing to lead, take responsibility, and be accountable. – You volunteer for additional projects/work. – You properly credit others for their work. • Which of your accomplishments do you feel good about? Why? • What would you like to improve and why? • Here are some things I think you'll want to improve. (Be specific.) • Describe contributions to a team effort (if appropriate). <ul style="list-style-type: none"> – What did you enjoy about the team experience? – What did you dislike about the team experience and why? – What would your customers say about you? – When I spoke with some of your customers, whom you recommended I contact, their feedback indicated... 	<ul style="list-style-type: none"> • How do you feel about the quality of the assignments you have received? • Do you feel valued and respected by your peers and organization? • What ideas do you have for making this office a more enjoyable, healthier place to work? • What can I do to help you be more effective in your job? • What can we do to keep our communication effective and ongoing? • Do you feel able to strike a reasonable balance between your work and home life? • Do you feel you have been adequately recognized and rewarded for your work? • Is there anything else that you wish to discuss at this time?
	CAREER OBJECTIVES
	<ul style="list-style-type: none"> • What are your professional areas of interest and long-term career goals? • What training opportunities or rotational or work assignments might develop those areas? • Let's discuss how your IDP reflects how you will pursue your goals.
CONNECTION OF WORK TO MISSION	GOALS FOR NEXT YEAR
<ul style="list-style-type: none"> • Let's talk about how your responsibilities support the organization's mission. <i>(Supervisors should be prepared to offer examples to clarify the relationship between the individual's work and the organization's mission.)</i> • What ideas do you have for future projects that would further the organization's mission? 	<ul style="list-style-type: none"> • What would you like to accomplish in the coming year? (Encourage employees to be specific and cover recommended areas of improvement.) • Can you describe how your future goals will support the mission of the organization? • Can you describe how your short-term goals will further your long-term professional goals?

Sample Performance Questions for Employees to Ask of their Supervisors

Employees can assist in assuring they receive constructive feedback by asking questions their supervisors might not ask. Judgment must be exercised in determining which questions are relevant and appropriate for particular situations. These questions can be used in a variety of discussion types.

PAST PERFORMANCE	CAREER OBJECTIVES
<ul style="list-style-type: none"> ✓ What do you think I have done well? Why? ✓ Here are things I think I have done particularly well... ✓ What do you think I need to improve on and why? ✓ What do my customers say about me? ✓ I'd like to tell you about my experience working on teams... 	<ul style="list-style-type: none"> ✓ Here are my areas of interest and long term career goals... ✓ What training opportunities/rotational or work assignments do you believe have the potential to develop those areas? ✓ What are your ideas on how I can improve my IDP goals and on how I can pursue those goals effectively?
CONNECTION OF WORK TO MISSION	GOALS FOR NEXT YEAR
<ul style="list-style-type: none"> ✓ Do you think my current responsibilities support the organization's mission? If not, how can my responsibilities better support the organization's mission? ✓ Here are my ideas for future projects that I believe would help fulfill the organization's mission... 	<ul style="list-style-type: none"> ✓ Here's what I'd like to accomplish in the coming year... ✓ Here's how I think these goals will help me develop and help the organization... ✓ What do you think of these goals?
SATISFACTION WITH WORK AND WORK ENVIRONMENT	NOTES:
<ul style="list-style-type: none"> ✓ I'd like to talk about the quality of the assignments I feel I've been receiving... ✓ I'd like to discuss my sense of how I am valued and respected by my peers and this organization. ✓ You could help me be more effective by... ✓ Here's what I'd like to do to keep our communication effective and ongoing... ✓ Here are some ideas I have for making this office a more enjoyable, healthier place to work... What do you think of them? 	

**PERFORMANCE MANAGEMENT MONITORING AND DEVELOP PHASES
 ROLES AND RESPONSIBILITIES**

The performance management Monitoring and Develop phases overlap and continue throughout the year. At the heart of performance is regular, meaningful dialogue regarding expectations. During the Monitoring and Develop phase, employees and managers/supervisors regularly discuss performance. Each has the responsibility to initiate and participate in informal performance conversations and to participate in performance discussions. During these discussions, employees explain what they have accomplished and point out areas in which they need support. In return, managers/supervisors provide feedback on what the employees are doing well and what needs improvement. The Interim Review discussion is also the time to review the performance plans and either confirm that they are still appropriate or to modify them as needed. This checklist provides a guide for what employees and managers/supervisors need to accomplish during the Monitoring and Develop phases of the performance management cycle.

Required Accomplishments By the End of the Monitoring and Develop Phases:

- The manager/supervisor has written an evaluation based on his or her own notes and the employee’s documented accomplishments.
- The employee has written a self-assessment based on his or her documented accomplishments.
- The employee has received feedback on performance and adjusted work behaviors accordingly.
- The Progress Review conversations have occurred. The performance plan has been adjusted, if needed.

TASKS AND ACTIVITIES

EMPLOYEE	MANAGER/SUPERVISOR
<input type="checkbox"/> Regularly track your performance.	<input type="checkbox"/> Regularly track the employee’s performance.
<input type="checkbox"/> Have frequent and meaningful dialogue with your manager/supervisor and request feedback about your performance.	<input type="checkbox"/> Have frequent and meaningful dialogue with the employee and provide feedback about the employee’s performance.
<input type="checkbox"/> Develop employee input of your performance thus far (voluntary, but highly recommended).	<input type="checkbox"/> Review the Agency’s mission and your organization’s goals and priorities to determine if there have been any changes that impact your employee’s performance plan.
<input type="checkbox"/> Enter your employee input into the Performance Appraisal Application	<input type="checkbox"/> Encourage the employee to write employee input (voluntary, but highly

Labor and Employee Relations Division

**PERFORMANCE MANAGEMENT MONITORING AND DEVELOP PHASES
ROLES AND RESPONSIBILITIES**

- | | |
|--|--|
| <p>(PAA) and send it to your manager/supervisor.</p> | <p>recommended).</p> |
| <p><input type="checkbox"/> Review your performance plan and your notes on your performance thus far.</p> | <p><input type="checkbox"/> Review your employee's input, if provided.</p> |
| <p><input type="checkbox"/> Participate in performance discussions to discuss performance thus far, to confirm the relevancy of the current performance plan, and to adjust job elements if necessary.</p> | <p><input type="checkbox"/> Review your notes on your employee's performance thus far.</p> |
| | <p><input type="checkbox"/> Set a time and location for the performance discussion and invite the employee to meet.</p> |
| | <p><input type="checkbox"/> Participate in performance discussions with the employee to provide feedback on performance thus far, to confirm that the performance plan is still relevant, and to adjust job elements if necessary.</p> |
| | <p><input type="checkbox"/> Record the Progress Review conversation in the Performance Appraisal Application (PAA).</p> |
| | <p><input type="checkbox"/> Look for or approve developmental opportunities such as training, coaching, mentoring, or special assignments for the employee.</p> |

PERFORMANCE DISCUSSION GUIDE

Why Have a Discussion Guide?

The purpose of this discussion guide is to provide managers with a tool to facilitate better, more effective communication related to work performance and its link to organizational effectiveness. The goal of the guide is to foster frequent, constructive dialogue that builds trust, improves transparency, enhances accountability, and promotes among all employees a greater sense of connection to the organization. The questions are intended to establish a model of communication between manager and employee. The guide is not mandatory, comprehensive, nor appropriate for all situations. Managers and Employees will have to use judgment in determining which of these questions and/or what other questions are applicable or appropriate to use in a particular situation. This guide is intended to be used in conjunction with the performance evaluation process. The purpose of the form is to provide employees with a tool by which they can give supervisors feedback on how effective they feel their performance evaluation discussion was. The expectation is that these results would initially be provided only to the supervisor.

When to Use This Discussion Guide?

This discussion guide can be used in the course of progress and end of year reviews. More frequent feedback is encouraged. The guide can also be used as a tool for

- Regular one-on-one meetings with managers and Employees (weekly, every other week, 15-30 minutes)
- Quarterly check-ins with Employees (in addition to mid-year and end-of-year feedback given in other settings, such as the following: reviews)
- Peer feedback
- Group debriefs, evaluations, and recognition after completion of a project
- Feedback from customers
- Group training opportunities (during Employees meetings or at other times)

Who is Responsible for Effective Performance Evaluation and Feedback Discussions?

Both managers and Employees are accountable for effective feedback discussions and should operate under the shared principal of "no surprises." Feedback should focus on the Employee's performance standards, expectations, and commitment to making the system work for them. Additionally:

GIVING GOOD FEEDBACK

Good feedback is:

- direct
- timely
- relevant to the specific task
- only about the performance the employee can control
- about both positive performance and areas in need of improvement
- balanced
- non-personal and mutually respectful

Receiving feedback well requires:

- Active listening, including:
 - eye contact
 - not interrupting
- Asking questions, responding clearly
 - concentrating
 - seeking meaning
 - considering both nonverbal and
- Verbal communication
 - interpreting
 - summarizing; and
 - paraphrasing
- Remaining open-minded and positive
- Identifying problem performance
- Forming a jointly developed action plan

PERFORMANCE DISCUSSION GUIDE

- Managers are responsible for making sure that performance progress reviews and end-of-year reviews happen and that other opportunities for feedback (like those above) are created and used. Managers are also responsible for conducting the feedback in a thoughtful and respectful manner, for listening actively, and for being well-prepared.
- Employees are responsible also for listening actively, for asking questions when the feedback is unclear, and for thinking hard about their career goals and aspirations and articulating them when discussing developmental activities.

What are the Elements of Good Communication?

- Good communications – regular and candid communication between Employees and managers – are the key to a performance evaluation system that holds no surprises for anyone during progress and end-of-year evaluations.
- Communication provides a vehicle for continuous feedback on Employees' strengths, weaknesses, and guidance on projects and responsibilities.
- Active listening is imperative in a successful performance evaluation and feedback system.

EXAMPLES OF EFFECTIVE FEEDBACK TECHNIQUES

STEP	EXPLANATION	EXAMPLE
"When you ..."	State specific facts of behavior (non-judgmental)	When you do not attend Staff meeting like you did today and last week ...
"I'm concerned ..."	Describe how behavior affected you or the office.	I get concerned ...
"Because I. ..."	State why the observed behavior affected you in this way.	Because I value your contributions. You play an important role in this office accomplishing its goals.
Pause and listen for response (Ask if other person has ideas about what to do)	Give the other person an opportunity to respond.	
"I would like ..."	Describe what change you want the other person to consider.	I would like you to consider planning your schedule so that you can attend meetings, or calling in advance if there is an important reason for the meeting to be rescheduled.
"Because ... ,"	State why the change is needed.	Because you are a valuable member of our team and we miss your input when you are not here.
"What do you think ..."	Listen to response. Discuss options and compromise on a solution, if necessary.	One way to ensure that both our needs are met is to ..



PERFORMANCE DISCUSSION GUIDE

Questions for Managers to Ask Employees

A manager's goal in starting a performance discussion is to create trust and put the employee at ease. Discretion and judgment must be used in determining which of the questions below are appropriate for a particular feedback session as well as their most appropriate order to focus on career development of the employee.

<p>PAST PERFORMANCE-----</p> <ul style="list-style-type: none"> Let me tell you some of the things I think you've done particularly well or as noted in your self-assessment (be specific), e.g.: <ul style="list-style-type: none"> You take initiative, as in the XYZ project. You identify and help solve problems. You do a good job of keeping me and your colleagues informed. You are willing to lead, take responsibility and be accountable. You volunteer. You properly credit others for their work. Which of your accomplishments do you feel good about? Why? What would you like to improve and why? Here are some things I think you'll want to improve (Be specific.) Describe contributions to a team effort (if appropriate). <ul style="list-style-type: none"> What did you enjoy about the team experience? What did you dislike about the team experience and why? What would your customers say about you? 	<p>SATISFACTION WITH WORK AND WORK ENVIRONMENT-----</p> <ul style="list-style-type: none"> How do you feel about the quality of the assignments you have received? Do you feel valued and respected by your supervisor and the organization? What can I do to help you be more effective in your job? What can we do to keep our communication effective and ongoing? Do you feel you have been adequately recognized and rewarded for your work? Is there anything else that you wish to discuss at this time? <p>CAREER OBJECTIVES -----</p> <ul style="list-style-type: none"> Let's discuss your Performance Assistance Plan (PAP) <ul style="list-style-type: none"> What are your professional areas of interest and long-term career goals? What training opportunities/rotational or work assignments might develop those areas? Let's discuss how your PAP reflects how you will pursue your goals?
<p>CONNECTION OF WORK TO MISSION -----</p> <ul style="list-style-type: none"> Let's talk about how your responsibilities support the organization's mission. <i>(Managers should be prepared to offer examples to clarify the relationship between the individual's work and the organization's mission.)</i> <p>What ideas do you have for future projects that would further the organization's mission?</p>	<p>GOALS FOR NEXT YEAR-----</p> <ul style="list-style-type: none"> What would you like to accomplish in the coming year? (Encourage employees to be specific, and cover recommended areas of improvement.) Can you describe how your future goals will support the mission of the organization? Can you describe how your short-term goals will further your long-term professional goals?

PERFORMANCE DISCUSSION GUIDE

Questions for Employees to Ask Managers

Employees can assist in assuring they receive constructive feedback by asking questions their managers might not. Again, judgment must be exercised in determining which questions are relevant and appropriate for particular situations. These questions can be explored in less formal communications throughout the year as well as during both progress and end-of-year reviews.

<p>PAST PERFORMANCE-----</p> <ul style="list-style-type: none"> - What do you think I have done well? Why? - Here are things I think I have done particularly well: <ul style="list-style-type: none"> - - - What do you think I need to improve on and why? - What do my customers say about me? - I'd like to tell you about my experience working on teams.... 	<p>CAREER OBJECTIVES -----</p> <ul style="list-style-type: none"> • Let's discuss your Performance Assistance Plan (PAP) <ul style="list-style-type: none"> - Here are my areas of interest and long-term career goals... - What training opportunities/rotational or work assignments do you believe have the potential to develop those areas? - What are your ideas on how I can improve my PAP goals and on how I can pursue those goals effectively?
<p>CONNECTION OF WORK TO MISSION -----</p> <ul style="list-style-type: none"> - Do you think my current responsibilities support the organization's mission? If not, how can my responsibilities better support the organization's mission? - Here are my ideas for future projects that I believe would help fulfill the organization's mission..... 	<p>GOALS FOR NEXT YEAR-----</p> <ul style="list-style-type: none"> • Here's what I'd like to accomplish in the coming year.... • Here's how I think these goals will help me develop and help the organization.... What do you think of these goals?
<p>SATISFACTION WITH WORK ANDWORK ENVIRONMENT-----</p> <ul style="list-style-type: none"> • I'd like to talk about the quality of the assignments I feel I've been receiving.... • I'd like to discuss my sense of how I am valued and respected by my peers and this organization. • You could help me be more effective by.... 	

WHAT CAN A SUPERVISOR DO TO PREVENT PERFORMANCE ISSUES?

The best way for supervisors to handle poor performance issues is to take action to avoid performance problems before they occur. Such preventive actions include:

Communicate clear performance standards and expectations to employees.

Consider sharing your supervisor's performance expectations with your staff. If your employees don't understand what is expected, it will be very hard, if not impossible, for them to meet those expectations. Providing clear expectations doesn't necessarily require you to lay out precisely written, detailed instructions on every performance component. Generally, the question you should ask yourself is: "Would a reasonable person understand what was expected?"

Provide regular and frequent feedback on performance.

Such feedback, both positive and negative, whether given in regularly scheduled meetings or in unscheduled discussions, is crucial to ensuring that expectations are understood. Frequent feedback lessens the likelihood that an employee will be surprised if it becomes necessary to take formal steps to resolve poor performance. Always look for opportunities to confirm that your employees understand what is expected.

Reward and recognizing good performance, informally and formally.

Recognizing good performance is simply another way of clarifying expectations.

Make full use of the probationary period for new employees.

The importance of the probationary or trial period is discussed in more detail under the "Special Topics" section. Performance problems often first show up during the initial period of Government employment. This period is designed to provide an opportunity for management to address such problems. Furthermore, an employee who is terminated during this period is not entitled to most of the procedures and appeal rights granted to employees who have completed probationary/trial periods. A recurring theme in successful resolution of performance problems is that taking action early is always better than waiting. This statement is definitely true when considering ways to prevent performance problems. Early communication, early feedback (positive and negative), and, if appropriate, early termination during a probationary or trial period are all good ways to prevent future performance problems. Investing time early is always time well spent.

A Supervisor's Checklist - Performance Counseling

Tips to conduct effective performance counseling sessions:

- Before meeting, review the Positions Description and Performance Plan to make sure you can state clearly what would constitute acceptable performance.
- Conduct the counseling session in a private place.
- Arrange adequate time for your comments as well as feedback and questions from the employee.
- Clearly state performance expectations and seek confirmation that the employee understands those expectations.
- Focus on the poor performance, using specific examples, not on personalities or other distractions.
- Always maintain a constructive tone, along with a calm and professional demeanor.
- Seek cooperation, NOT confrontation.
- Remember that your goal is to improve the employee's performance, not to win an argument with the employee.
- Try to end the session on a positive note by emphasizing that your mutual goal is improving the employee's contributions to the success of the organization.

A Supervisor's Guide for Preparing for Performance Discussions

Holding successful mid-year and end-of-year performance appraisal discussions requires preparation. For example, developing a comprehensive written appraisal narrative can be extremely helpful when preparing for the face-to-face appraisal review. Appraising officials can use the following checklist as a tool to help them prepare for employee appraisal reviews:

- ✓ **Gather the Material**
- ✓ **Review and Write**
- ✓ **Schedule the Discussion**

Gather the Material - Have all the necessary tools close at hand before starting to write the appraisal narrative, including:

- a copy of the employee's performance plan
- notes of previous meetings with the employee (remember what was discussed with the employee during previous meetings)
- employee self-evaluation documents, which could include a list of completed projects and accomplishments prepared by the employee;
- written or recorded feedback on employee performance from other sources (these can include letters of appreciation, customer feedback, etc.)
- appraisal program instructions that describe the performance appraisal process and procedures.

Review and Write - Become familiar with the appraisal form and review how to derive the summary rating (e.g., numerical formula, percentages, and numerical weights). Take the time to review the employee's elements and standards, knowing which elements are critical, non-critical, and additional, and how to measure employee performance. Finally, review all the documentation. When writing the narrative, consider these points:

- **Responsibilities and Duties**. Review employee responsibilities:
 - Have the employee's work responsibilities changed? If so, how?
 - Has the employee been assigned additional responsibilities which were not included in the performance plan? If so, consider acknowledging these additional responsibilities in the narrative and the performance interview.

A Supervisor's Guide for Preparing for Performance Discussions

- Also, consider whether to include the new responsibilities in next year's performance plan.
- **Performance.** Include performance data for the entire appraisal period, not just the most recent information. The appraisal narrative should address:
 - how well the employee performed the assigned responsibilities and the quality and/or
 - timeliness of the employee's accomplishments;
 - whether and how well the employee met performance goals;
 - areas of performance that improved over the appraisal period; and
 - areas of performance that might need improvement.
- **Review Developmental Needs.** In addition to the information in the narrative, prepare to talk to the employee about developmental needs. Identify skills and competencies that may enhance or improve the employee's performance. Look into a variety of ways of improving skills, such as classroom or on-line training, professional conferences and workshops, details to other work units or to positions with higher responsibilities, or on-the-job training. Enter the appraisal review with this information on hand, but during the review, be sure to ask the employee for input on development needs. If employees participate in creating their own development plans, those plans likely will be more successful.

Schedule the discussion. The final preparation step is to set aside a time and a place to meet with the employee. When scheduling the appraisal discussion, make sure to:

- Schedule a time that is convenient for you and the employee. This should be uninterrupted time so that you and the employee can concentrate on the appraisal.
- Give the employee a copy of the performance appraisal with its narrative before the meeting so that he or she can have time to prepare for the appraisal interview.
- Be sure to check with your leadership on whether you need to have higher level review of your appraisals before communicating a final rating or award information to the employee.

When the supervisor takes time to prepare, conducting the appraisal interview can be less complicated, less stressful, and more successful at providing the employee valuable feedback on performance.

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Progress Review Conversation Preparation Checklist

Although ongoing informal dialogue and feedback are essential to an effective performance management system, DOD requires that employees and managers/supervisors review, document, and discuss performance at the performance discussion (two are recommended). During these discussions, which typically occur prior to and after the mid-point of the performance cycle, employees and managers/supervisors discuss the employee input (if written), accomplishments to date, any issues impeding progress, and developmental needs. This conversation is also a good time to review job elements to determine if any adjustments are needed. Before you participate in the performance discussion, apply this checklist to make sure you are fully prepared for the discussion.

Employee	Manager/Supervisor
<input type="checkbox"/> Review your performance plan to ensure that it reflects your current work focus.	<input type="checkbox"/> Review the employee's performance plan and work priorities, noting your employee's performance thus far as compared to the established standards
<input type="checkbox"/> Review your notes on your performance.	<input type="checkbox"/> Review organization's goals and priorities and note any changes that may affect the employee's performance plan
<input type="checkbox"/> Consider your performance thus far as compared to your performance standards Be prepared to provide examples of your contributions, focusing on the following:	<input type="checkbox"/> Review your notes on the employee's performance to date
<input type="checkbox"/> <ul style="list-style-type: none"> • Tasks you have completed • Problems you have solved • Progress on your developmental interests Prepare questions you may have related to the following:	<input type="checkbox"/> Complete the performance discussion
<input type="checkbox"/> <ul style="list-style-type: none"> • Problems with which you need help • Tasks that have yet to be completed • Developmental, training, and learning needs or interests. 	<input type="checkbox"/> Create an agenda for the performance discussion and plan your feedback

Labor and Employee Relations Division

Progress Review Conversation Preparation Checklist

- | | |
|--|--|
| <ul style="list-style-type: none"><input type="checkbox"/> Note where your manager/supervisor can help you remove obstacles and overcome challenges<input type="checkbox"/> If necessary, be prepared to suggest adjustments to your performance plan to reflect new work or changed goals and priorities<input type="checkbox"/> Remember to keep the conversation focused on the progress to date. It is not the time to speculate about or discuss possible year-end ratings or payouts | <ul style="list-style-type: none"><input type="checkbox"/> Note specific tasks the employee has completed or that still require completion and any problems your employee has solved or that need to be solved<input type="checkbox"/> Consider in what capacities the employee is performing well and where the employee may need support or training<input type="checkbox"/> Remember to keep the conversation focused on progress to date. It is not the time to speculate about or discuss possible year-end ratings |
|--|--|

COMMUNICATING WITH YOUR SUPERVISOR

Why Talk With Your Supervisor?

For you and your organization to successfully transition to the new performance appraisal system, you must be able to communicate openly with your supervisor. This provides a powerful opportunity for you to actively engage in frequent communication with your supervisor about your accomplishments, current work, and future goals.

As you prepare for the new system, your supervisor will be a valuable source of information and guidance. It is imperative that you understand why DOD is moving to this system and what you need to do to succeed. It is important for you to discuss any questions or concerns you have with your supervisor.

What Topics to Discuss

Arrange a time to meet with your supervisor to discuss the following topics:

New Opportunities – Safeguarding Employee Rights and Protections

This transition offers managers and supervisors an improved system for acknowledging employees who achieve their performance goals through individual and team contributions. Discuss with your supervisor concerns you may have regarding safeguards in the performance management system. The system provides you with new opportunities for rewards and career progression, while ensuring your rights, protections and current benefits.

Career Goals and Interests

Discussing and documenting your career path and progression enables your supervisor to take your goals into consideration when assigning future work. When you discuss your desired career path

with your supervisor, he or she can help explain your organization's mission and the available opportunities it creates for your group and for you.

Focus on Performance Planning

The move to the new appraisal system includes a shift in the way DOD organizations evaluate performance. The focus is on your performance and how you contribute to your organization. Success is linked to how well you perform and how that performance contributes to the success of the organization. Work with your supervisor to establish performance standards that show you how to meet the goals inherent in your work assignments. It is important that you:

- Understand the established performance criteria and continuously monitor and routinely track your progress in meeting your goals;
- Meet regularly with your supervisor to discuss your performance and ensure your goals and criteria are up to date; and
- Document the results and outcomes of your work that support the organization's goals.

Work Assignment and Accountability

You work hard at your job every day. It is essential that you and your supervisor share a common understanding about your performance and results, and how your day-to-day activities contribute to mission accomplishment. Make sure that you know what you are accountable for, what the short- and long-term priorities are and how the work you do contributes to the success of your organization. If you have not already done so, make it a point to meet with your supervisor on a regular basis. Frequent and honest communication is key to your success.

COMMUNICATING WITH YOUR SUPERVISOR

Skill Development and Learning Opportunities

Adding new skills and expanding areas of knowledge increases your value to the organization and enables you to take advantage of new job opportunities. Meet with your supervisor to identify skill-building opportunities and work together to set up a development plan that enhances your value to the organization and maximizes your potential for career progression.

How to Communicate

Remember the following guidelines as you get ready for the new appraisal system.

Offer Constructive Feedback

As organizations implement the new system, your feedback can drive improvement. Feedback is a good thing. Communicating your viewpoint to your supervisor in a constructive way helps improve the system in the long run. Remember these tips for constructive feedback:

- *Be prepared.* Formulate an effective comment or recommendation; make sure your issues and points are formed properly and well stated so your supervisor can understand your views. Be candid and state facts, not feelings.
- *Be a part of the solution.* Your ideas matter! When you discuss the new system with your supervisor, include ideas on how your organization can prepare for and improve.
- *Continue the dialogue.* As you prepare for implementation, keep talking with your peers and supervisor about performance. This open communication is crucial to you and your organization's success.
- *Use appropriate feedback channels.* There are several ways to provide

feedback (e-mail, anonymous drop-boxes, websites, etc.). Ask your supervisor for the best way to convey your thoughts in order to maximize your impact.

Ask for Feedback

Do not be afraid to ask your supervisor how you are doing. You want to know what you are doing well and areas where you can improve. When you receive feedback about:

- *What you are doing well* – take time to consider how you can apply what is working to your other responsibilities.
- *Areas for improvement* – try not to be defensive. Instead, ask for specific examples of how you need to improve and clarify any questions and concerns you may have.

Take a moment to jot down the outcome of your feedback so you have a record of it, and you can use the information later when you are preparing for your formal appraisal.



NEW BEGINNINGS

Lesson 6: Evaluating Performance

DPMAP Rev.2
July 2016



NEW BEGINNINGS

Leadership hiring **NEW BEGINNINGS** SERVICE **Pride** readiness WORKFORCE PLANNING **Ownership** Supervisor Performance communication Guides **FOCUS** EXCELLENCE accountability MENTORING **PERFORMANCE** Commitment training mission Teamwork Rewards

Department of Defense **DCP&S** Defense Civilian Personnel Administration

No surprises for either party at the end of the appraisal cycle

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Learning Objectives

Upon completion of this lesson, you will be able to:

- Recognize important facets of the Evaluating Phase.
- Describe how employees' inputs benefit the final performance appraisal discussion.
- Explain how to prepare for the performance discussion.



No surprises for either party at the end of the appraisal cycle

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Performance Management

- Ongoing
- Supervisors and employees **share** responsibility
- Consist of:
 - ✓ Proactively **planning** work and setting expectations
 - ✓ Continually **monitoring** performance
 - ✓ **Evaluating** performance in a summary fashion
 - ✓ **Recognizing and rewarding** good performance



No surprises for either party at the end of the appraisal cycle

DPMAP Rev.2
July 2016
(143)

NEW BEGINNINGS Evaluating Performance

Evaluating Performance

Evaluating performance entails assessing performance against the performance elements and standards in the employee's approved performance plan and assigning a rating of record based on work performed during the appraisal cycle

DoD Instruction 1400.25-Vol. 431

DCPXS *No surprises for either party at the end of the appraisal cycle* DPMAP Rev.2
July 2016
(144)

NEW BEGINNINGS Evaluating Performance

- ✓ Prepared and documented in the *MyPerformance Tool* on DD 2906
- ✓ Performance Appraisal Cycle *01 April to 31 March*
- ✓ Performance Ratings
 - *5 - Outstanding*
 - *3 - Fully Successful*
 - *1 - Unacceptable*

DCPXS *No surprises for either party at the end of the appraisal cycle* DPMAP Rev.2
July 2016
(145)

NEW BEGINNINGS **Employee Performance Ratings**

(5) OUTSTANDING

- The average score of all performance element ratings is 4.3 or greater, with no element being rated a "1", resulting in an overall rating of record that is a "5".

(3) FULLY SUCCESSFUL

- The average score of all performance element ratings is less than 4.3, with no element being rated a "1", resulting in an overall rating of record that is a "3".

(1) UNACCEPTABLE

- Any performance element rated as a "1".

- ✓ At the end of the appraisal cycle, an employee's performance is rated by his or her supervisor against the employee's performance plan.
- ✓ Employee must be provided a written rating of record and been under an approved performance plans for 90 calendar days.



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NEW BEGINNINGS **SAMPLE Performance Rating Narratives**

Level 5 - Outstanding

- Produces exceptional results or exceeds expectations well beyond specified outcomes
- Sets targeted metrics high and far exceeds them (e.g., quality, budget, quantity)
- Handles roadblocks or issues exceptionally well and makes a long-term difference in doing so
- Is widely seen as an expert, valued role model, or mentor for this work
- Exhibits the highest standards of professionalism

Level 3 – Fully Successful

- Effectively produces the specified outcomes, and sometimes exceeds them
- Consistently achieves targeted metrics
- Proactively informs supervisor of potential issues or roadblocks and offers suggestions to address or prevent them
- Achieves goals with appropriate level of supervision

Level 1 - Unacceptable

- Does not meet expectations for quality of work; fails to meet many of the required results for the goal
- Is unreliable; makes poor decisions; misses targeted metrics (e.g., commitments, deadlines, quality)
- Lacks or fails to use skills required for the job
- Requires much more supervision than expected for an employee at this level



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Evaluating Phase Roles and Responsibilities

Employees

- Provide input
- Include each performance element
- Restate understanding of these performance elements
- Highlight all of the most significant achievements
- Make the connection “accomplishment > result > impact” on the organization
- Note challenges, how they were resolved, and lessons learned

Supervisors

- Request and consider employee input
- Consider obstacles encountered and overcome
- Prepare a written narrative and rating on each performance element
- Make meaningful distinctions based on performance; foster and reward excellent performance; address performance issues
- Clearly communicate approved and finalized ratings



No surprises for either party at the end of the appraisal cycle

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Employee Input and Supervisor Evaluation

Employee Input

- Written by employees about themselves
- Compares performance during the appraisal cycle to performance elements and standards
- Provides opportunity for employee to state accomplishments and impact
- Focuses on employees' perception of their strengths and improved performance
- Emphasizes organizational impact of performance
- Makes supportable distinctions in performance above Fully Successful level (if applicable)
- Includes awards, recognitions, and compliments received during the appraisal cycle

Supervisor Evaluation

- Written by supervisors about employee performance
- Compares employee input, if completed, and performance elements and standards
- Provides employees with meaningful, constructive, and candid feedback
- Focuses on supervisors' assessment of strengths, improvement notes, and areas for improvement
- Emphasizes organizational impact of performance
- Makes meaningful distinctions in performance and provides supporting documentation of the recommended rating (if applicable)
- Includes observations made by other managers, supervisors, customers, or peers



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DPMAP Rev.2
July 2016
(149)

NEW BEGINNINGS **Preparing for Performance Discussions**

- Conducting successful performance discussions requires preparation
- Supervisors may use the following steps to prepare:

```

graph LR
    A[Gather the material] --> B[Review and write]
    B --> C[Schedule the meeting]
  
```

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July 2016
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NEW BEGINNINGS **Gather the Material**

Have all the necessary tools close at hand before starting to write the performance discussion narrative. This includes:

- A copy of the employee's performance plan
- Notes of previous meetings
- Employee input documents
- Written or recorded feedback on employee performance from other sources

```

graph LR
    A[Gather the material] --> B[Review and write]
    B --> C[Schedule the meeting]
  
```

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NEW BEGINNINGS **Review the Material**

When writing the narrative, supervisors should consider:

- Responsibilities and Duties
- Performance
- Developmental Needs

Gather the material → **Review and write** → Schedule the meeting

 **DCPAS** Department of Defense
Department of Defense
Department of Defense

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DPMAP Rev.2
July 2016
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NEW BEGINNINGS **Write the Performance Narrative**

Supervisors write a performance narrative that describes the employee's performance measured against the performance standards for the appraisal cycle.

A written rating of record must be provided at the end of the appraisal cycle for each employee who has been under an approved performance plan for 90 calendar days during the cycle.

➤ Performance narratives :

- ✓ Justify how an employee's ratings are determined
- ✓ Are required for each element rated "Outstanding" and "Unacceptable"
- ✓ Are highly encouraged for each element rated "Fully Successful" as a means of recognizing all levels of accomplishments and contributions to mission success

Gather the material → **Review and write** → Schedule the meeting

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Schedule the Meeting

When scheduling performance discussions, supervisors set the date, time, and location of the meeting with the employee.



Note: Per DoDI 1400.25-Volume 431, a rating record of “Unacceptable” must be reviewed and approved by a higher level reviewer. Supervisors should be sure to familiarize themselves with and follow local policy before they communicate the rating to an employee. Supervisors should contact their Employee Relations Specialist in Human Resources prior to rating an employee as “Unacceptable.”



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Exercise: End-of-Year Meeting Video



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July 2016
(155)

NEW BEGINNINGS **Exercise Debrief: End-of-Year Meeting Video**

- What did the supervisor do in this meeting that was positive and/or useful?
- What did the employee do in this meeting that was positive and/or useful?
- Where were the Trust Behaviors?



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July 2016 (156)

NEW BEGINNINGS **Performance Discussions**

- DPMAP requires *three* performance discussions between supervisor and employee during the performance appraisal cycle. **THEY ARE:**



- In addition to those required, *more frequent and meaningful periodic discussions between supervisors and employees are HIGHLY encouraged. They help to:*
 - ✓ Understand expectations toward goals
 - ✓ Facilitate supervisor-employee engagement
 - ✓ Increase the amount of feedback
 - ✓ Contribute to a more complete and accurately documented appraisal
 - ✓ Encourage supervisors to recognize and reward deserving employees in a more timely manner
- All performance discussions should be given sufficient, uninterrupted time, in a suitable private location, and results documented.

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Resolving Differences

- A rating of record is official even if the employee does not sign it
- If possible, differences should be resolved informally
- If they cannot be resolved, the employee:
 - May raise issues related to the performance appraisal process through the administrative grievance system or, where applicable, the negotiated grievance procedure.
 - Has the right to appeal performance-based actions.
 - Title 5, Code of Federal Regulations §432 and §752



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Learning Objectives Review

You should now be able to:

- Recognize important facets of the Evaluating Phase.
- Describe how employees' inputs benefit the final performance appraisal discussion.
- Explain how to prepare for the performance discussion.



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Questions?

➤ Are there any questions?



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VALUING EMPLOYEE PERFORMANCE — AN IMPORTANT ASPECT OF PERFORMANCE CULTURE

One of the measures of Performance Culture is employees' perceptions of how well the organization values their performance. If employees feel valued by the organization, a performance culture can develop that sets the stage for high levels of performance.

How can agencies help their employees feel valued for their performance? Agencies can use many formal and informal methods to ensure that employees know that the agency values employee performance.

Formal Methods:

Award programs should provide supervisors and managers the tools they need to formally recognize and reward their employees for good performance. Regulations provide for four forms of awards that agencies can grant to Federal employees: cash awards, honorary awards, informal recognition awards, and time off awards.

Award programs can include some form of public recognition that includes an explanation of why the recognition is given. Supervisors and employees should know what awards the agency grants, the criteria for each award, and the recipients of those awards, while complying with privacy requirements.

Agencies should train and develop their supervisors in human relations skills and communication techniques. These skills improve the employee-employer relationship and help to create an atmosphere of mutual respect where people value everyone's contributions.

Agencies can provide developmental and promotional opportunities, give employees additional responsibilities, and allow employees to represent the organization at meetings. Providing these and other developmental opportunities help employees see how much the agency values its employees through its commitment in time and money to employee development.

Informal Methods:

Supervisors should actively solicit employee input on issues, act on the input, and communicate those actions to employees. These actions show employees that agencies value their opinions and suggestions.

Supervisors should verbally thank employees for jobs well done, provide informal recognition when warranted, and give positive feedback to employees on their performance as often as possible. These small gestures of appreciation can mean a lot to employees.

Supervisors should discuss with employees their role in the organization and how they contribute to achieving organizational goals. When employees know where they fit in and can see how their efforts help the agency meet its goals, they know they make a positive difference.

**VALUING EMPLOYEE PERFORMANCE — AN IMPORTANT ASPECT OF
PERFORMANCE CULTURE**

Management should conduct informative all-hands or staff meetings to discuss and share information about the organization as a whole, its mission, and its goals. Taking these steps keeps the employee informed. Employees tend to feel valued if management shares important information with them.

The role of supervisors is pivotal in developing a performance culture. Good supervisors communicate well with employees and can help them feel that their performance is valued and that they are important to carrying out the agency's mission.

EMPLOYEE INPUT FACT SHEET

What is Employee Input?

Employee Input is your written description of your work accomplishments related to the performance elements identified in your performance plan. In the employee input, you discuss the results of your work, the behavior you demonstrated in accomplishing your work, and how your work contributed to your organization's goals and your Agency's mission. Writing the employee input is a voluntary activity, but is highly recommended for your interim reviews and performance appraisal. The employee input serves as the basis for your manager's/supervisor's evaluation of your work. It is your opportunity to highlight your most significant work achievements using your own words and provides your manager/supervisor with a clear picture of how you perceive your own performance and contributions.

Guidelines for Writing Employee Input

Employee input is your opportunity to list the facts about what you have done during the performance period. To write effective employee input, you should maintain an ongoing record or journal of major achievements throughout the performance cycle. Records might include written and verbal feedback you received from people within your department or from sources outside your department. Other examples include recognition or thanks from others, and notes to yourself about deadlines that you met or tasks that you successfully completed. By documenting major achievements against your job objectives as they occur, you have the information needed to complete the Employee Input when it is due. When writing employee input, the following guidelines may help:

- **Restate elements.** Paraphrasing performance elements gives your manager/supervisor a clear picture of how well you understood performance expectations.
- **Focus on achievements rather than tasks.** Emphasize the results you accomplished, not the steps you took to create the results. Focus on the service, product, or deliverable resulting from the performance element.
- **Highlight your most significant achievements for the rating cycle.** Your employee input does not need to be lengthy. Use your achievements to demonstrate how you successfully completed your performance elements.
- **Make the connection between what you did and how your work helped the organization.** Explain how the organization benefited from what you achieved or contributed by describing tangible benefits (i.e., a cost savings to the organization or a solution that enabled employees to better perform their jobs).
- **Cite instances where your actions or conduct exemplified superior performance.** Highlight specific instances where your behavior made a positive difference in the outcome of a job objective and how you met or exceeded the performance elements.



EMPLOYEE INPUT FACT SHEET

- **Describe any challenges you faced and how you overcame them.** Overcoming challenges is an important part of the overall performance rating. Challenges may be technical or interpersonal in nature. They may also involve the ability to succeed despite limited resources or difficult circumstances.
- **Describe your accomplishments in terms of the performance element.** Without copying the text of the elements, describe how your work met or exceeded them.

Effective employee input answers the following questions:

- What did I achieve?
- How well did I do it?
- What behaviors did I exhibit?
- How did it help my organization?
- What special circumstances made my accomplishment even more significant?

Objective: Your employee input clearly identifies at what level you felt you accomplished the performance element.

Results: Your employee input describes how you accomplished the job objective at the stated level and references the appropriate Performance Indicators without copying the text of the descriptors exactly.

Contribution: Your employee input describes the critical behaviors you exhibited relative to the selected performance element.

Added Value: Your employee input describes the value of your accomplishments to the organization and, if applicable, describes how you exceeded expectations.

Situation: Your employee input provides a little bit of context so readers understand why you were assigned this job objective and how it benefits the organization.

Challenges: Your employee input describes any unusual circumstances you may have faced when working on this performance element.

Results: Your employee input describes your actual results, including how they benefited the organization.

Actions: Your employee input describes the actions you took and the behaviors you exhibited in accomplishing your performance standard.

Measurements: Your employee input describes how well you performed against each specific measurement in the performance element, linking what you did and how well you did it.

EMPLOYEE INPUT DO'S AND DON'TS – A TIP SHEET

Use this list to help you write more effective employee input.

Good employee input includes:

- **Accomplishments, results, and impact:** Focus on results instead of tasks. Describe the impact on the organization's mission and goals.
- **Performance Levels:** Include wording that describes the level at which you (or the employee) performed on each performance element.
- **Behavioral Factors:** Describe how you (or your employee) exhibited the behaviors associated with the selected measure(s) for the performance element.
- **Challenges and added value:** Describe how you overcame issues and dealt with special circumstances. Include wording that describes how you added value to your organization.

Key Questions

Effective employee input should answer these key questions:

- What did I achieve?
- How well did I do it?
- How did it help my organization?
- What critical behaviors did I exhibit?
- What special circumstances made my accomplishment even more significant?

Do	DON'T
<ul style="list-style-type: none"> • Set aside uninterrupted time to reflect and write. 	<ul style="list-style-type: none"> • Rush through writing at the last minute.
<ul style="list-style-type: none"> • Review the appropriate performance element and position description before you start writing. 	<ul style="list-style-type: none"> • Write employee input that is unlinked to your performance element.
<ul style="list-style-type: none"> • Review documentation of accomplishments and determine which are the most significant in terms of contribution to mission and organizational goals. 	<ul style="list-style-type: none"> • Rely on your memory to recall all accomplishments within the performance period.
<ul style="list-style-type: none"> • Use active verbs to describe actions and accomplishments. (see <i>Action Verb Tip Sheet</i>) 	<ul style="list-style-type: none"> • List tasks performed.



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EMPLOYEE INPUT DO'S AND DON'TS – A TIP SHEET

Do	DON'T
<ul style="list-style-type: none"> • Be specific and concise. 	<ul style="list-style-type: none"> • Be flowery and wordy.
<ul style="list-style-type: none"> • State the level of performance at the beginning of the narrative, i.e., “I met the expectations established for this performance element” or “The employee exceeded expectations on this performance element.” 	<ul style="list-style-type: none"> • Leave your rating official or pay pool panel members wondering how you felt you (or your employee) performed against the performance elements.
<ul style="list-style-type: none"> • Spell out acronyms and explain terms that may be unfamiliar 	<ul style="list-style-type: none"> • Use acronyms or terms which may not be familiar.
<ul style="list-style-type: none"> • Focus on accomplishments only within the current performance period. 	<ul style="list-style-type: none"> • Cite accomplishments from past performance periods.
<ul style="list-style-type: none"> • Note challenges faced and how they were overcome. 	<ul style="list-style-type: none"> • Assume the rating official/approving official will infer the challenges.
<ul style="list-style-type: none"> • Cite instances where actions or conduct exemplified the behaviors identified the performance element. 	<ul style="list-style-type: none"> • Ignore positive behavioral factors.
<ul style="list-style-type: none"> • Reference the language of the performance element that describe the appropriate behaviors for the occupation and grade; and provide examples of how they were met. 	<ul style="list-style-type: none"> • Copy the exact wording from the performance element.
<ul style="list-style-type: none"> • Describe the individual contributions to team goals. 	<ul style="list-style-type: none"> • Ascribe credit for team accomplishments solely to the individual.
<ul style="list-style-type: none"> • Describe any instances where performance was above “Fully Successful.” 	<ul style="list-style-type: none"> • Attribute high performance without substantiating it.
<ul style="list-style-type: none"> • Provide specifics on measurable or qualitative results and the relation to the organization’s goals. 	<ul style="list-style-type: none"> • Leave the reviewer wondering why the accomplishments were important.
<ul style="list-style-type: none"> • Explain accomplishments in such a way that someone unfamiliar with the work would understand the accomplishments. 	<ul style="list-style-type: none"> • Assume the reviewer is aware of individual accomplishments.
<ul style="list-style-type: none"> • Use spelling and grammar check and re-read writing. 	<ul style="list-style-type: none"> • Assume grammar and spellings do not matter.

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EMPLOYEE INPUT AND APPRAISAL COMPARISON FACT SHEET

Employee input and the performance appraisal both capture the employee’s performance against the performance elements. Employees are encouraged to complete employee input as part of the interim and end of cycle reviews. Rating officials are required to complete performance appraisals as part of the interim and end of cycle reviews. The rating official’s performance appraisal should be more than merely a concurrence with what the employee submitted in the employee input. Although the approach to writing employee inputs and performance appraisals is similar, it is important to understand the differences between the two documents. This table highlights the differences.

EMPLOYEE INPUT	APPRAISAL
Written by employee about self	Written by rating official about employee
Provides opportunity to advocate for self	Provides opportunity to advocate on behalf of the employee for awards or recognition
Written in first person (I...)	Written in third person (Mr. Smith...)
Documents performance	Documents and assesses performance
States opinion on performance level	Recommends ratings
References performance elements	References employee input, if completed, and performance elements
Provides opportunity for employee to state accomplishments and impact	Provides employees meaningful, constructive, and candid feedback
Explains growth in skills, work quality, behavior	Documents observed growth in skills, work quality, behavior
Focuses on strong performance	Addresses poor and strong performance
Demonstrates link between performance expectations, conduct, and organizational mission and goals	Emphasizes organizational impact of performance and conduct
Makes supportable distinctions in performance above Valued Performer level (if applicable)	Makes meaningful distinctions in performance and provides supporting documentation of the recommended rating (if applicable)
Includes accolades, compliments, etc., from others (if applicable)	Includes observations made by other managers/supervisors, customers, or peers

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EMPLOYEE INPUT WORKSHEET

Use this worksheet to help you write your employee input. Two approaches are provided to help you with completing this activity, you might find that one approach is easier or more meaningful, depending upon the type of work that you do. These two approaches are:

ORCA – Objective, Results, Contribution, Added Value

SCRAM – Situation, Challenge, Results, Actions, Measurements

Start the activity by answering each question in the My Notes column. Then combine these notes into employee input in the space underneath the table. Use a fresh worksheet for each performance element employee input. Rating officials can also use this worksheet to help write performance element appraisals. As you write, refer to the *Employee Input Do's and Don'ts Tip Sheet* for additional advice. Keep in mind that the MyPerformance Tool has a 2,000 character limit for each performance element employee input.

The examples in the table below are based on the following sample performance element:

Performance Element: Analyze data to develop at least 20 technically sound, analytical reports on time and within budget by proactively planning, organizing and prioritizing work schedule, adjusting to meet competing needs. Twelve of these reports are the monthly reports, due by the seventh business day of the following month. The remainder of the reports and the due dates will be assigned by a supervisor. These reports support recommendations to mission-critical changes that save money and time for the organization.

The ORCA Approach:

Element **Analyze Data**
 Title: _____

	Questions to Ask	Examples
O Objective	<ul style="list-style-type: none"> • At what level did I perform? 	<p>I performed at the “Fully Successful” level for this performance standard analyzing data...</p>
R Results	<ul style="list-style-type: none"> • What measurable results show how I accomplished this performance element at the “Fully Successful” level? (consider quantity, quality, savings, budget, and ratings as possible measurements) • What did I do that exemplifies how I met the measurements? • What quantifiable or qualitative specifics can I provide to convey the impact of benefits? • How did the organization or others benefit from my accomplishment 	<p>... effectively completed objective of developing 20 analytical reports on time and within budget. I proactively adjusted my work schedule to meet competing needs and have all work products turned in on time. I worked with our IT specialist to develop a new report in our accounting system and provided the needed algorithms for programming ...</p>

EMPLOYEE INPUT WORKSHEET

C Contribution	<ul style="list-style-type: none"> • What critical behaviors did I exhibit relative to achieving or exceeding the performance element? 	<p>...I developed my technical proficiency by taking a course on new research techniques ...</p>
A Added Value	<ul style="list-style-type: none"> • Did I exceed the expectations presented in the performance element? How? • Did I identify and share lessons learned? 	<p>... the report I developed has reduced production time for monthly reports by 3 days...my supervisor used 3 of my reports as support for recommendations to mission-critical changes resulting in a savings of 10 percent ...</p>

Sample employee input: I performed at the “Fully Successful” level for this performance standard. I effectively analyzed budget data and produced 20 analytical reports on time and within budget. I proactively adjusted my work schedule to meet competing needs and have all work products turned in on time. My supervisor used recommendations I made in three different reports as support for recommendations to mission-critical changes resulting in a 10 percent cost savings. I worked with our IT specialist to develop a new report in our accounting system and provided the needed algorithms for programming. This report has reduced production time for monthly reports by three days in our department. I developed my technical proficiency by taking a course on new research techniques.

(character count: 727)

Using the SCRAM Approach:

	<i>Questions to Ask</i>	<i>Examples</i>
S Situation	<ul style="list-style-type: none"> • Why was I assigned this performance element? • What situation did this performance element hope to address or change? 	<p>...my role is to provide analytical reports that are foundational support for mission-critical recommendations and budget tracking...</p>
C Challenge	<ul style="list-style-type: none"> • What challenges did I face when accomplishing this performance element? <ul style="list-style-type: none"> ○ Was there a lack of communication or teamwork? ○ Were resources difficult to access or acquire? ○ Was there a knowledge or skills 	<p>... organize and prioritize my own work to complete my reports on time while following the standards and procedures ... Use my technical background to analyze and make recommendations...</p>



EMPLOYEE INPUT WORKSHEET

	deficiency? ○ Was there a process issue? ○ Was there a short timeframe or other time-related issue? ● How did I overcome the challenges?	
R Results	● What measurable results show how I accomplished this performance element at the “Fully Successful” level? (consider quantity, quality, savings, budget, and ratings as possible measurements) ● How did the organization or others benefit from my accomplishment? ● What quantifiable or qualitative specific can I provide to convey the impact or benefits? ● Did I identify and share lessons learned that can be applied? ● How did my results align with organizational goals?	...effectively completed objective of developing 20 analytical reports on time and within budget... my supervisor used 3 of my reports as support for recommendations to mission-critical changes resulting in a savings of 10 percent...I developed a report that has reduced production time in the department for monthly reports by 3 days...
A Actions	● How did I influence the outcome? ● What were my specific contributions to the team? ● Did I develop a team or process? ● Is the measurement(s) an appropriate determination of performance element achievement? ● What critical behaviors did I exhibit relative to achieving or exceeding the performance element?	I worked with our IT specialist to develop a new report in our accounting system and provided the needed algorithms for programming... I developed my technical proficiency to learn new research techniques by taking a course. I used my new knowledge in a team project to add more useful detail to the report
M Measurements	● What quantifiable or qualitative specific can I provide to convey the impact or benefits to my organization? ● How did I perform against each specific measure in the performance element? ● What did I do that exemplifies how I met or exceeded the performance element?	...effectively completed objective of developing 20 analytical reports on time and within budget... I proactively adjusted my work schedule to meet competing needs and have all work products turned in on time.

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EMPLOYEE INPUT WORKSHEET

Sample employee input: I performed at the “Fully Successful” level for performance standard. My role is to provide analytical reports that are foundational support for mission-critical recommendations and budget tracking. To this end, I effectively analyzed budget data and produced 20 analytical reports on time and within budget. My supervisor used recommendations I made in three different reports as support for recommendations to mission-critical changes resulting in a 10 percent cost savings. One of the challenges I faced was in November the mission-focus of my unit shifted and I needed to adapt and shift my focus to a new area of analysis and a different way of reporting. As I did this, I discovered that some of the information we needed was not readily available from our accounting software's existing reports. I worked with our IT specialist to develop a new report and I provided the needed algorithms for programming. This report has reduced production time for monthly reports by three days in our department. I proactively adjusted my work schedule to meet competing needs and have all work products turned in on-time. Also, to help me adjust to the new focus, I developed my technical proficiency by taking a course on new research techniques.

(character count: 1,215)

Your employee input: Use this space to prepare your input:



PERFORMANCE APPRAISAL DISCUSSION CHECKLIST

During the Performance Appraisal conversation, the employee and manager/supervisor discuss the employee's performance, final rating of record and ratings on each element. The Performance Appraisal conversation occurs after the ratings have been finalized. It is a required discussion that happens during the Recognizing and Rewarding phase of the performance management cycle. Before you participate in the Performance Appraisal conversation, review this checklist to make sure you are fully prepared for the discussion.

Performance Appraisal Discussion Checklist

EMPLOYEE	MANAGER/SUPERVISOR
<input type="checkbox"/> Review your employee input, if written.	<input type="checkbox"/> Review the Position Description, the Performance Plan, and the employee's input, if submitted.
<input type="checkbox"/> Review your evaluation results if your rating official sends them to you before the meeting, with particular attention to your performance elements	<input type="checkbox"/> Know your employee's final ratings on each element and the rating of record, the process by which these ratings were assigned, and the rationale behind these ratings.
<input type="checkbox"/> Prepare a list of any questions about your evaluation results. Note opportunities to improve your performance in the new performance cycle based on your experiences from the past year.	<input type="checkbox"/> Be prepared to explain your employee's overall level of performance as compared to the appropriate performance standards.
<input type="checkbox"/> Ask for coaching, mentoring, or training, if needed.	<input type="checkbox"/> Be prepared to explain the rating reconsideration process.
<input type="checkbox"/> Consider how you can grow professionally and learn through experiences and formal/informal training.	<input type="checkbox"/> Note opportunities for your employee to improve performance in the next performance cycle. Identify formal or information training options for the employee's growth and potential barriers to success.

Writing Employee Input

Employee input is optional, but is an important aspect of the rating process. Input is your written description of your performance and accomplishments as compared to your performance elements. Your input describes your work achievements, your contributions, and accomplishment of your work. Employee input is an essential piece of the ongoing communication between you and your supervisor. Although your performance elements outline the goals of your work, employee input describe how well you feel you did in reaching those goals, and provides an opportunity for understanding between you and your supervisor regarding those accomplishments.

Writing employee input is voluntary, but is highly recommended for your progress and end of cycle discussions with your supervisor. It is your opportunity to highlight your work achievements using your own words, and provides your rating official and the approving official with a clear picture of how you perceive your own performance and contributions.

Performance appraisals are your rating official's written descriptions of your performance as compared to your performance elements.

Managing Performance

Well-written employee input help both you and your rating official to evaluate progress by providing insights into completed work, use of resources, and effort. In addition, they may provide insight into any performance corrections needed to fulfill your performance elements. Input also serves as written documentation to validate that your performance is on track or to provide support should performance-based actions become necessary.

Rewarding Performance

You will receive a performance rating based on how well you accomplished your performance elements. The employee input is your opportunity to provide input into the evaluation process. Because you have the most direct knowledge of your successes, challenges, exhibited behaviors, and performance, you are in the best position to describe these factors. Because the approving official might not be completely familiar with your performance, or may have forgotten about an accomplishment earlier in the performance cycle, they may use the information contained in employee inputs to make their decisions.

Employee input:

- Are written, narrative descriptions of your work in your own words
- Are voluntary but highly recommended
- Enhance your rating official's evaluation of your performance

Writing Employee Input

USING EMPLOYEE INPUT TO COMMUNICATE ACHIEVEMENT

Although not required, it is highly recommended that you complete employee inputs so that you have the opportunity to explain firsthand what you accomplished. Your rating official may use your employee input when writing your evaluation. If you choose to complete employee input, write clearly and concisely. Remember that you understand your accomplishments best, and your employee input is the opportunity for you to share your perceptions of your performance with others.

To effectively communicate your achievements for the performance period, your employee input should answer these key questions:

- What did I need to achieve with my work?
- How well did I achieve my goals?
- How did my achievements help my organization?
- What behaviors did I exhibit while achieving my goals?
- What special circumstances made my accomplishments more significant?

GETTING STARTED ON WRITING YOUR EMPLOYEE INPUT

When you write your employee input, start by identifying the performance element that you want to address. By doing this, your supervisor can clearly see which performance element is addressed with each portion of the employee input in order to complete your evaluation. To help you write your employee input, you should regularly document your performance throughout the performance year.

When you write your employee input (or your employee's performance appraisal if you are a rating official), do the following:

- Prepare ahead of time. Gather your organization's and Agency's mission statement and goals and your notes about your achievements. Before you start writing, have all relevant information in front of you. To facilitate writing employee inputs, consider maintaining an ongoing record of your achievements.



Quick Tip

Keep a journal that allows you to keep track of your accomplishments throughout the year.



Writing Employee Input

- While writing your employee input, restate your understanding of your performance elements. Briefly paraphrase your performance elements and link them to your standards and measures to give your rating official a clear picture of how well you understood the performance expectations.
- Review the performance element provided by your performance plan. Using the relevant element is considered a best practice because it makes it easier for evaluators to distinguish performance. Use key words to clearly link the level of performance you demonstrated. Describe the accuracy of your work; how you prioritized the tasks; whether you anticipated risks and mitigations; how you overcame obstacles, and the amount of detailed supervision you required.
- Make the connection between what you did and why it matters to the organization. Use a few words in your examples to show clear, direct alignment. The following sentence provides a simple model to address this element (the bracketed text contains examples):
“This helped my organization achieve its _____ [labor budget requirements] goal by _____ [enabling senior leaders and decision-makers to make sound compensation decisions by providing real-time snapshots of organizational compensation decisions].”
- Cite instances in which your actions or conduct exemplified the attributes and behaviors described in standards for the performance objective. Be sure to highlight specific instances where your manner of performance or behavior demonstrated of the element described in the performance element and made a positive difference in the outcome of the performance element.
- Highlight your most significant achievements for the rating cycle. You may want to list every achievement relative to the performance element, but you need to prioritize your achievements and write about those that you believe mattered most. Remember to focus on what you achieved rather than on what you did. Your employee input should not be a long list of activities.
- Note challenges or obstacles you faced and how you fared. Overcoming challenges is an important part of your overall performance. Challenges may be technical or interpersonal in nature. They might involve succeeding despite limited resources or difficult circumstances. As always, be specific.

Be sure to do these things when preparing for and writing your employee input:

- Have all of the relevant information in front of you before you begin.
- Restate your understanding of your performance elements.
- Demonstrate how to how your work matters the organization.
- Cite examples of how your conduct exemplified your performance elements.
- Highlight your most significant achievements.
- Note challenges and obstacles faced.
- Explain special situations.

Writing Employee Input

- Explain any special situations. If anything may have made it difficult or impossible for you to achieve the intended results, mention it. If you did not fully meet a performance objective, explain why. If you accomplished something major that was not listed in your performance elements, include the details of that achievement and explain why it was not listed as a performance element. For instance, if the work occurred in the last quarter of the performance year, you and your rating official might not have had the opportunity to revise your performance plan.



Additional
Information

- ✓ *Employee Input Do's and Don'ts Tip Sheet*
- ✓ *Action Verb Tip Sheet*
- ✓ *Employee Input Fact Sheet*
- ✓ *Employee Input and Evaluation Comparison Fact Sheet*

Writing Employee Input

LEVELS OF PERFORMANCE

Performance element help you define how well you performed. The following questions may help you clarify you thinking about performance standards as you describe your accomplishments:

- How independently did I work?
- How much guidance or oversight did I receive to help me achieve my performance elements?
- How much responsibility did I take in proactively resolving issues?
- How much initiative did I take in this position to accomplish these results?

When you write your employee input, you need to insert words or phrases that address these questions. This allows everyone to understand the connection between the work you accomplished and your performance expectations. However, you should not paste the exact wording of the performance element into the assessment. You can use this focused summary to ensure that you include the appropriate language in both your performance elements and employee input.

Writing Employee Input

MODELS FOR WRITING EMPLOYEE INPUTS

When completing your employee inputs, using a defined model can help you organize your thoughts and address the major questions that need to be answered. Two models that you can use to help you write your employee inputs are the ORCA approach and the SCRAM approach.

THE ORCA APPROACH

The ORCA approach is one method you can use to help you create your employee input. Each letter in the ORCA acronym represents an element that should be reflected in your employee input:

“O” stands for “Objective.” Your employee input should identify the performance objective to which you are comparing your performance and the level of performance you demonstrated to achieve the performance element.

“R” stands for “Results.” You should describe the results of each measurement in the performance objective, including quality, quantity, cost savings, or percentages. First review the level 3 Performance Indicators. Describe if and how you achieved the requirements for level 3 performance as listed in the Performance Indicators for your pay schedule and pay band. Then review the level 5 Performance Indicators. If you feel that you performed better than level 3, provide any evidence to show how you achieved those requirements. Explain how your achievements benefitted your team and organization. Be sure to include how your contributions supported the mission or goal statement that you referenced in the performance objective. If you did not achieve all of the requirements for level 3 performance, note any reasons why and be sure to understand how you may be able to perform better in the next performance period.

“C” stands for “Contribution.” Your employee input should specifically state examples that show how you demonstrated the standards for the performance objective. Consider the behaviors you demonstrated that supported your achievement. Then describe how you achieved “expected” level for your performance standard. If you did not demonstrate at least the “expected” behaviors, note any reasons why. Consider how you can improve in the next performance period.



Quick Tip

Using the ORCA approach ensures employee inputs discuss these items:

- Objective
- Results
- Contribution
- Added Value

Writing Employee Input

“A” stands for “Added Value.” How did you add value with your work and performance? Did your accomplishments save money, help complete a project, revamp a process, or save lives? Recount what your contributions meant to your team, organization, Agency, or a group outside of your work.

Writing Employee Input

ACTIVITY 2: THE ORCA APPROACH



**Self-study
Activity**

Read the two sample self-employee inputs below. Mark the letters O, R, C, or A where you think the employee input describes the Objective, Results, Contribution, and Added Value. Can you find at least one word in each employee input for each letter? If not, note what is missing. You might find that one letter applies to several words in the self-employee inputs or that one word applies to more than one letter. There is extra space between the lines for you to mark these letters over the appropriate words.

Administrative Assistant, GS-0341-07

Performance Element:

Edit weekly employee newsletter in accordance with established format and send electronically to Washington-area employees on timely basis using established policy. Establish systematic procedures to solicit reader input and produce a cost-effective product. This supports the Directorate's goal to keep employees informed and knowledgeable about agency issues and programs.

Employee Input:

I accomplished this performance element at the "Outstanding" level of performance. I edited the newsletter weekly in accordance with the established format after reviewing all submissions for relevance and interest. This newsletter goes out to all Washington-area employees in multiple organizations and provides information common to all those in the area. To do this, I regularly solicit input from all organizations. I have developed excellent relations with contributors in all organizations to the point that now they often send their contributions in advance of my reminders because they see the value in my newsletter and it is so well received by employees. I updated the factual information regularly, knowing that if it were accurate, more employees would read it. I received so much employee response that I took the initiative to add an FAQ section to answer the questions I received most often in an informal, readable way. Anticipating difficulties getting the technical information I needed to create a new online production technology, I sent out twice as many requests for information than I have in the past. I was able to produce a product that cut distribution time by one-third. In addition, according to reader feedback, distribution and readership is up by 45 percent.

Writing Employee Input

Research Evaluator, GS-0301-12

Performance Element:

Assess the validity and report on the eight research projects that are in progress quarterly. Provide bi-weekly reports on research over an agreed-upon funding level. Reports should be technically accurate, clear and concise, no more than 10 pages in length and should link the projects to support the goal of pursuing academic research that addresses relevant and pressing mission issues.

Employee Input:

I accomplished this performance element at the “Fully Successful” level of performance, providing timely project reports. I organized my schedule so that I had sufficient time to collect information from a variety of sources and submit all bi-weekly reports on time. When funding was decreased for one project and increased for another, I adjusted my reports accordingly and recommended solutions for dealing with the funding changes. I made sure to discuss these recommendations with the project managers before writing them. I wrote the reports after updating our guidelines to reflect current reporting requirements. My analysis of one project initiated a change in research emphasis to better align it with the academic research more closely related to mission issues.

Writing Employee Input

ANSWER KEY FOR ACTIVITY 2: THE ORCA APPROACH



Check your work below. Did you mark the words with an O, R, C, or A where you think the employee input describes the Objective, Results, Contribution, and Added Value? Did you find at least one word in each employee input for each letter? If not, what was missing?

Self-study
Activity
Answer Key

Administrative Assistant, GS-0341-07

Performance Element:

Edit weekly employee newsletter in accordance with established format and send electronically to Washington-area employees on timely basis using established policy. Establish systematic procedures to solicit reader input and produce a cost-effective product. This supports the Directorate's goal to keep employees informed and knowledgeable about agency issues and programs.

Employee Input:

I accomplished this performance element at the "Outstanding" level of performance [O]. I edited the newsletter [O] weekly [R] in accordance with the established format after reviewing all submissions for relevance and interest. This newsletter goes out to all Washington-area employees in multiple organizations and provides information common to all those in the area [C]. To do this, I regularly solicit input from all organizations. I have developed excellent relations with contributors in all organizations to the point that now they often send their contributions in advance of my reminders because they see the value in my newsletter and it is so well received by employees [C]. I updated the factual information regularly, knowing that if it were accurate, more employees would read it [A]. I received so much employee response that I took the initiative to add an FAQ section to answer the questions I received most often [R,C] in an informal, readable way. Anticipating difficulties [C] getting the technical information I needed to create a new online production technology, I sent out twice as many requests for information than I have in the past. I was able to produce a product that cut distribution time by one-third [R,A]. In addition, according to reader feedback, distribution and readership is up by 45 percent [A].



Writing Employee Input

Research Evaluator, GS-0301-12

Performance Element:

Assess the validity and report on the eight research projects that are in progress quarterly. Provide bi-weekly reports on research over an agreed-upon funding level. Reports should be technically accurate, clear and concise, no more than 10 pages in length and should link the projects to support the goal of pursuing academic research that addresses relevant and pressing mission issues.

Employee Input:

I accomplished this performance element at the “Fully Successful” level of performance [O], providing timely project reports [R]. I organized my schedule so that I had sufficient time to collect information from a variety of sources [C] and submit all bi-weekly reports on time [R]. When funding was decreased for one project and increased for another, I adjusted my reports accordingly and recommended solutions for dealing with the funding changes [R, C]. I made sure to discuss these recommendations with the project managers before writing them [C]. I wrote the reports after updating our guidelines [R] to reflect current reporting requirements [C]. My analysis of one project initiated a change in research emphasis to better align it with the academic research more closely related to mission issues [C, A].

Writing Employee Input

THE SCRAM APPROACH

The SCRAM approach is another method you can use to help you create your employee input. Each letter in the SCRAM acronym represents an element that should be reflected in your employee input:

S” stands for “Situation.” Your employee input should explain the reason why your rating official assigned you this performance element and what the results of this performance element were intended to address.

C” stands for “Challenge.” You should state the challenges you faced or obstacles you had to overcome when you accomplished the performance elements. Note any unforeseen circumstances, changes in mission or priorities, reduced funding or time, lack of personnel or skill, or team or communication issues that you faced.

R” stands for “Results.” Show how your accomplishments benefited the organization and furthered the mission and how your contributions are aligned with the goals of your organization. Mention any lessons learned and shared with others that helped the organization.

A” stands for “Actions.” Describe the actions you took to accomplish your work. Highlight the impact of your contributions on the team. Remember to address the standards provided by the performance element. If you met the behaviors described in the performance element, explain how you achieved them at the “expected” level. If you feel you met the standards for the “Outstanding” level, include words to show what you did that went beyond “expected.”



Quick Tip

Using the SCRAM approach ensures employee inputs include these items:

- **Situation**
- **Challenge**
- **Results**
- **Actions**
- **Measurements**



If you would like more information on the ORCA and SCRAM models, refer to the Employee Input Worksheet located on the Performance Management learning web page.

Writing Employee Input

Additional Information



Knowledge Check

What are the differences between what is contained in the ORCA and SCRAM models? If you need a reminder, review pages 12 and 17.

“M” stands for “Measurement.” Address each specific measure from the performance element, including quantity, quality, savings, budget, and time. Use the documentation you compiled throughout the year to remind you of specific examples. If you feel you met the “Fully Successful” level of performance, describe how your performance reflects the expectations for that level. If you feel you performed at higher than the “Fully Successful”, describe the behaviors you demonstrated.

Writing Employee Input

ACTIVITY 3: THE SCRAM APPROACH



Read the following sample employee input. In the table below the example, note the sentences or phrases that represent the Situation, Challenge, Results, Actions, and Measurements of the SCRAM model.

Administrative Assistant, GS-0341-07

**Self-study
Activity**

Performance Element:

Support and assist the Division Chief by:

- Maintaining her appointments calendar effectively using Outlook, with minimum of 98 percent accuracy for scheduled appointments and rescheduling when calendar changes and conflicts arise.
- Coordinating Chief's travel arrangements in a timely manner by placing air, hotel, and rental car reservations, with 98 percent accuracy on all travel arrangements using the agency's database and with attention to the most efficient and cost-effective accommodations. File 98 percent of Chief's travel vouchers within 5 days of return from travel in accordance with travel policy.

Employee Input:

I met the element of providing administrative support for this performance period.

To support my Chief's active travel schedule and to aid in accomplishing our organization's goal of regular travel to all agencies under our command, I was tasked with ensuring that schedules and travel plans were accurate and current. I maintained the Chief's calendar efficiently, and all appointments were accurate 98 percent of the time, even when she was on three – week trips and communication was difficult because of time zones. One particularly challenging obstacle arose on one of these trips. Her e-mail was down overseas, her return date changed, and I did not know how to reschedule three important appointments. I reprioritized my work to solve this within 24 hours. I faxed all of the information to her hotel and office and left a message on her home telephone. She received the message on her telephone and faxed back instructions from her hotel on how to reschedule these three appointments. I was able to do this in a manner that was convenient for each visitor and not upsetting.

Writing Employee Input

I coordinated all of her travel arrangements, including air, hotel, and rental car reservations, with a 99 percent accuracy rate. I gathered information from various sources and maintained

spreadsheets on airline fares and schedules and preferred hotel chains and rental car chains so I could evaluate options and make sound decisions. I also subscribed to several e-mail alerts to track hotel specials. Over the performance period, I saved 18 percent of the hotel accommodations budget. I filed all of her travel vouchers within five days of her return.

Situation	
Challenge	
Results	
Actions	

Writing Employee Input

Measurements	
---------------------	--

ANSWER KEY FOR ACTIVITY 3: THE SCRAM APPROACH



Check your work below. Did you note the correct sentences or phrases that reflect the employee input elements of Situation, Challenge, Results, Actions, and Measurements? If not, what was missing?

**Self-study
 Activity**

Performance Elements:

Answer Key

Support and assist the Division Chief by:

- Maintaining her appointments calendar effectively using Outlook, with minimum of 98 percent accuracy for scheduled appointments and rescheduling when calendar changes and conflicts arise.
- Coordinating Chief’s travel arrangements in a timely manner by placing air, hotel, and rental car reservations, with 98 percent accuracy on all travel arrangements using the agency’s database and with attention to the most efficient and cost-effective accommodations. File 98 percent of Chief’s travel vouchers within 5 days of return from travel in accordance with travel policy.

Employee Input:

I met the element of providing administrative support for this performance period.

To support my Chief’s active travel schedule and to aid in accomplishing our organization’s goal of regular travel to all agencies under our command, I was tasked with ensuring that schedules and travel plans were accurate and current. I maintained the Chief’s calendar efficiently, and all appointments were accurate 98 percent of the time, even when she was on three – week trips and communication was difficult because of time zones. One particularly challenging obstacle arose

Writing Employee Input

on one of these trips. Her e-mail was down overseas, her return date changed, and I did not know how to reschedule three important appointments. I reprioritized my work to solve this within 24 hours. I faxed all of the information to her hotel and office and left a message on her home telephone. She received the message on her telephone and faxed back instructions from her hotel on how to reschedule these three appointments. I was able to do this in a manner that was convenient for each visitor and not upsetting.

I coordinated all of her travel arrangements, including air, hotel, and rental car reservations, with a 99 percent accuracy rate. I gathered information from various sources and maintained spreadsheets on airline fares and schedules and preferred hotel chains and rental car chains so I could evaluate options and make sound decisions. I also subscribed to several e-mail alerts to track hotel specials. Over the performance period, I saved 18 percent of the hotel accommodations budget. I filed all of her travel vouchers within five days of her return.

Situation	To support my Chief’s active travel schedule and to aid in accomplishing our organization’s goal of regular travel to all agencies under our command, I was tasked with ensuring that schedules and travel plans were accurate and current.
Challenge	<ul style="list-style-type: none"> • Chief’s e-mail was down, return date changed, had to reschedule three important appointments • Find the most efficient and cost-effective accommodations
Results	<ul style="list-style-type: none"> • Maintained appointments calendar with 98 percent accuracy • Made travel arrangements with 99 percent accuracy • Efficient and cost-effective accommodations • Filed all vouchers within five days • Rescheduled appointments, convenient for each visitor and not upsetting

Writing Employee Input

Actions	<ul style="list-style-type: none">• Reprioritized work• Faxed hotel, office, left message on home telephone• Maintained spreadsheets on airlines, hotels, rental cars so I could evaluate options and make sound decisions• Subscribed to several e-mail alerts
Measurements	<ul style="list-style-type: none">• 98 percent of calendar accurate; 99 percent of travel accurate• Timely travel arrangements• Reprioritized work• Within five days• 18 percent off hotel accommodations• Filed travel vouchers within five days

Writing Employee Input

KEY POINTS FROM THIS LESSON

 Employee inputs are your written descriptions of your own performance as compared to your performance elements and Contributing Factors. In the employee input, you discuss the results of your work, the behavior you demonstrated in accomplishing your work, and how your work contributed to your organization's goals and the Agency's mission. Writing employee inputs is a voluntary activity, but is highly recommended for your progress and end of cycle reviews.

 To effectively communicate your achievements for the performance period, your employee input should answer these key questions:

- What did I need to achieve with my work?
- How well did I achieve my goals?
- How did my achievements help my organization?
- What behaviors did I exhibit while achieving my goals?
- What special circumstances made my accomplishments more significant?

If you are a rating official, you can apply these same questions to your employee's performance to write the evaluation.

 ORCA and SCRAM are two model approaches that can help you write your employee input. ORCA stands for Objective, Results, Contribution, and Added Value, and SCRAM stands for Situation, Challenge, Results, Actions, and Measurements. You should ensure that your employee input contains all of the elements in the ORCA or SCRAM model.

Writing Employee Input



**Additional
Information**

- ✓ Employee Input Do's and Don'ts Tip Sheet
- ✓ Employee Input and Evaluation Comparison Fact Sheet
- ✓ Employee Input Fact Sheet
- ✓ Employee Input Worksheet

ADDITIONAL RESOURCES FOR THIS LESSON



NEW BEGINNINGS

Lesson 7: Recognizing and Rewarding Performance

DPMAP Rev.2
July 2016



NEW BEGINNINGS

Leadership hiring SERVICE Pride readiness WORKFORCE PLANNING Ownership Supervisor Performance communication Guides FOCUS EXCELLENCE accountability MENTORING PERFORMANCE Commitment training mission Teamwork Rewards

Department of Defense **DCP&S** *Fair – Credible - Transparent* DPMAP Rev.2 July 2016 (162)



Learning Objectives

Upon completion of this lesson, you will be able to:

- Describe the importance of recognizing and rewarding the employee's success.
- Identify types of recognition and reward related to performance management.
- Determine creative ways to recognize and reward employees.



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Performance Management

- Ongoing
- Supervisors and employees **share** responsibility
- Consist of:
 - ✓ Proactively **planning** work and setting expectations
 - ✓ Continually **monitoring** performance
 - ✓ **Evaluating** performance in a summary fashion
 - ✓ **Recognizing and rewarding** good performance



No surprises for either party at the end of the appraisal cycle

DPMAP Rev.2
July 2016
(164)

NEW BEGINNINGS **Recognizing and Rewarding Performance**

Monetary

- One-Time cash award
- Salary Increase
- Promotion
- Time-Off Award

Non-Monetary

- Award plaque
- Challenge Coin
- Public acknowledgement at meeting
- Simple "Thank you" or other way to show employee performance was observed and recognized

NOTE: Must adhere to ethical spending limit guidelines in 5 CFR 2635 and DoDI 1400.25 V451



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DPMAP Rev.2
July 2016
(165)

NEW BEGINNINGS **Recognizing and Rewarding Performance**

➤ **Employee successes and accomplishments should be recognized and rewarded**

➤ **Supervisors should:**

- ✓ Actively solicit and act on input from employees.
- ✓ Communicate positive results based on employee input back to employees to show value of their ideas and suggestions.
- ✓ Verbally thank deserving employees for good performance.
- ✓ Give positive feedback on performance, when warranted, as often as possible.



➤ **Employees should:**

- ✓ Proactively communicate successes and accomplishments to their supervisor.

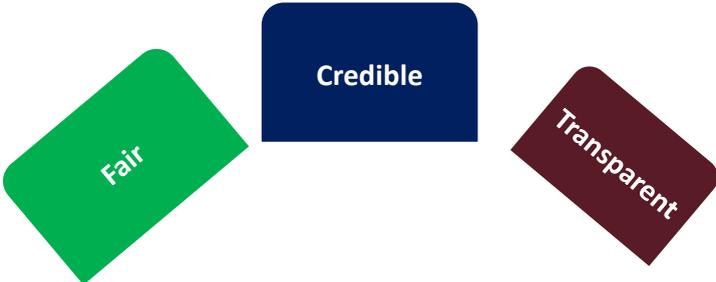


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NEW BEGINNINGS **Recognizing and Rewarding Performance**

DoD is committed to
“a fair, credible and transparent”
 performance management and appraisal program
 How can we make recognition and rewards
 fair, credible, and transparent?



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DEPARTMENT OF DEFENSE
DCP&S
 Defense Civilian Personnel Activity Service

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NEW BEGINNINGS **Exercise: Create a Recognition and Rewards Library**

- Create a list of non-monetary employee recognition and rewards methods that a supervisor could use throughout the performance appraisal cycle



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DEPARTMENT OF DEFENSE
DCP&S
 Defense Civilian Personnel Activity Service

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Exercise Debrief: Create a Recognition and Rewards Library

- What did you come up with in your groups?

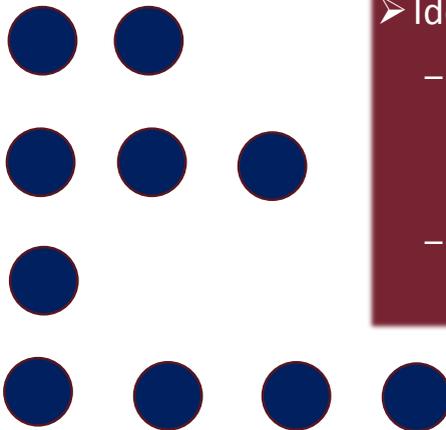


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Exercise: Employee Recognition and Rewards Toolkit



- Identify favorite methods
 - 10 ideas with one dot sticker per idea

OR

- More than one dot sticker for a particular favorite



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Exercise Debrief: Create a Recognition and Rewards Toolkit

- What are the Top 10 ideas for the entire class?
- Which groups had the three highest numbers of dot stickers?



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What Motivates Us



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Learning Objectives Review

- You should now be able to:
 - Describe the importance of recognizing and rewarding the employee's success.
 - Identify types of recognition and reward related to performance management.
 - Determine creative ways to recognize and reward employees.



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Additional Resources

- DODI 1400.25, Volume 410, *DoD Civilian Personnel Management System: Training, Education, and Professional Development.*
- DODI 1400.25, Volume 431, *DoD Civilian Personnel Management System: Performance Management and Appraisal Program.*
- DODI 1400.25, Volume 451, *DoD Civilian Personnel Management System: Awards.*
- DCPAS Resources and References web site:
<https://www.cpms.osd.mil/Subpage/NewBeginnings/ResourcesReferences/>
- DCPAS HR Toolkit:
<https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Performance-Management/Pages/PM-Guides-TipSheets-Checklists.aspx>
- DCPAS LERD web site
<https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Pages/Home1.aspx>
- Corporate Leadership Council. *Building the High-Performance Workforce: A Quantitative Analysis of the Effectiveness of Performance Management Strategies* (Washington D.C.: Corporate Executive Board, 2002)



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Questions

➤ Are there any questions?



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Glossary

acceptable performance. Performance that meets an employee's performance requirements or standards in the elements being assessed.

appraisal. The process by which performance is reviewed and evaluated.

appraisal cycle. A 1-year period (April 1 – March 31) established by the DoD Performance Management and Appraisal Program in which an employee's performance will normally be reviewed, and a rating of record will be assigned.

approved performance plan. A performance plan written, reviewed, and approved in accordance with DoD Component procedures, which communicates expectations and requirements of employee performance for the appraisal cycle.

critical element. A type of performance element in which a work assignment or responsibility is of such importance that unacceptable performance on the element would result in a determination that the employee's overall performance is unacceptable. Critical elements are only used to measure individual performance.

detail. A temporary assignment to a different position or a set of duties for a specified period. The employee is expected to return to his or her permanent position of record at the end of the assignment.

element. A work assignment or responsibility of such importance that unacceptable performance on the element would result in a determination that the employee's overall performance is unacceptable. Elements are only used to measure individual performance.

employee performance file. A record containing copies of employees' performance ratings of record, including the performance plans on which the ratings are based. It also includes all performance-related records, such as forms or other documents, maintained as a system of records within the meaning section 552a of title 5, U.S.C., also known as the "Privacy Act of 1974."

higher level review (HLR). A senior-level management official, normally above the level of a rating official.

matrixed employee. An employee hosted by an organization at a location apart from his or her permanent supervisor or organization of record and who is performing work

for his or her organization of record. The employee may receive taskings from the host organization but he or she remains under the authority, direction, and control of his or her organization of record.

minimum period of performance. The minimum appraisal cycle for the DoD Performance Management and Appraisal Program is 90 calendar days on an approved performance plan.

MyPerformance. The DoD automated appraisal tool authorized for use by both supervisors and employees to document the performance management process of the DoD Performance Management and Appraisal Program.

opportunity period to demonstrate acceptable performance. A reasonable period for the employee whose performance has been determined to be unacceptable in one or more elements to demonstrate acceptable performance in the element(s) at issue.

performance. Accomplishment of work assignments or responsibilities.

performance discussion. Joint communication between the supervisor and employee about the employee's work performance and its link to organizational effectiveness. The discussions may consist of verbal feedback sessions or formal performance discussions.

performance element rating. The written, or otherwise recorded, appraisal of performance compared to the performance standards for each element on which there has been an opportunity to perform for the minimum period of performance.

performance improvement officer. A senior-level organizational leader with responsibility to supervise agency performance management activities; advise agency leaders about measuring organizational performance; and assist with integrating performance information into an agency's employee performance appraisal process.

performance management. The integrated process by which an agency involves its employees in improving organizational effectiveness in the accomplishment of agency mission and strategic goals. Performance management consists of: performance planning, monitoring employee performance, evaluating employee performance, and recognizing and rewarding employee performance.

performance plan. All of the written, or otherwise recorded, performance elements and standards that set expected performance. A plan must include elements and their performance standards.

performance rating level (also known as “summary level”). An ordered category of performance from Level 1 through Level 5, with Level 1 as the lowest and Level 5 as the highest. Level 1 is “Unacceptable”; Level 3 is “Fully Successful”; and Level 5 is “Outstanding”.

performance standard. The management-approved expression of the performance threshold, requirement, and expectations that must be met to be appraised at a particular level of performance. A performance standard may include, but is not limited to, quality, quantity, timeliness, and manner of performance.

performance improvement plan (PIP). A strategy developed for an employee at any point in the appraisal cycle when performance becomes unacceptable in one or more elements. This plan affords an employee the opportunity to demonstrate acceptable performance and is developed with specific guidance provided by the servicing human resources office.

performance discussion. A type of formal performance discussion in which the supervisor communicates with the employee about the employee’s performance compared to his or her performance standards. Supervisors are required to conduct at least one formal performance discussion during the appraisal cycle.

promotion. A change of an employee, while serving continuously within the same agency, either to a higher grade when both the old and the new positions are under the General Schedule or under the same type graded wage schedule, or to a position with a higher rate of pay when both the old and the new positions are under the same type of ungraded wage schedule, or are in different pay method categories.

quality step increase (QSI). An increase in an employee’s rate of basic pay from one step or rate of the grade of his or her position to the next higher step of that grade or next higher rate within the grade (as defined in section 531.403 of title 5, CFR. Only an employee who receives a rating of record of “Outstanding” or equivalent is eligible.

rating of record. The performance rating level assigned at the end of an appraisal cycle for performance of agency-assigned duties over the entire cycle.

rating official. The person responsible for informing the employee of the duties of his or her position, establishing performance standards, providing feedback, appraising performance, and assigning the performance rating. Normally, this is the employee’s immediate supervisor.

reassignment. The change of an employee, while serving continuously within the same agency, from one position to another without promotion or demotion.

reduction in grade. The involuntary assignment of an employee to a position at a lower classification or job grading level. A reduction in grade is also referred to as a demotion.

removal. The involuntary separation of an employee from federal service.

SMART. An acronym for criteria that can be used in writing and evaluating performance standards: specific, measurable, achievable, relevant, and timely.

supervisor (Civil Service Reform Act (CSRA)). Position meets the definition of Supervisor in 5 U.S.C. 7103(a) (10), but does not meet the minimum requirements for application of the General Schedule Supervisory Guide.

unacceptable performance. Performance that fails to meet the established performance standards in one or more elements of an employee's position. It is referred to as a Level 1 rating under the DoD Performance Management and Appraisal Program.

within-grade increase (WGI). A periodic increase in an employee's rate of basic pay from one-step of the grade of his or her position to the next higher step within that grade. The employee's rating of record must be at the "Fully Successful" level to be eligible for a WGI.