

Bureau of Indian Education

Summer Institute 2012

Building a Brighter Tomorrow through
Positive & Progressive Leadership

Human Resources Office

**Managing Your Performance Management
Program**



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Managing Your Performance Management Program

▶ Introductions:

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Managing Your Performance Management Program





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Managing Your Performance Management Program

- ▶ Managing the Program
 - Definitions
 - GPRA Goals
 - Timelines
 - Forms
 - Employee Training & Involvement
 - Conducting Mid-Year Performance Reviews
 - Interim Ratings

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Managing Your Performance Management Program

- ▶ Managing the Program (continued)
 - “The Rating of Record”
 - Narrative Summaries
 - Role of the Reviewing Official
 - Delivering the Rating of Record
 - Awards
 - What else may the performance rating impact?
 - Resources
 - Q&A



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- ▶ You are not in this alone!
 - Follow the form!
 - Consult the 370 DM 430
 - DOI Performance Appraisal Handbook, 10/4/2004
 - Share knowledge with peers
 - Consult your ER/LR Specialist
 - Performance vs. Misconduct Issues
 - Performance Improvement Plans



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▶ Definitions

- BIE Appraisal Period
 - Coincides with the school year: July 1 – June 30
- Maximum Time to Finalize Performance Standards
 - Timeframe in which performance standards are finalized and approved. The maximum time a rating official has to put an employee under elements and standards, i.e., establish an Employee Performance Appraisal Plan (EPAP)
- Minimum Appraisal Period
 - The length of time, 90 calendar days, that the employee must be performing under an approved EPAP in a given position in order to be eligible for an interim or annual rating



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- ▶ Definitions (continued)
 - Progress Review
 - Discussion with the employee at least once during the appraisal period to review the employee's progress and communicate performance as compared to the established standards; to make any recommended revisions to critical elements/performance standards; and to consider/identify any developmental needs or performance improvement required



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▶ Definitions (continued)

◦ Interim Appraisal

- Required when an employee has worked under standards in the position for 90 days and if one or more of the following occurs: Employee changes position (i.e., reassignment, promotion, change to lower grade, transfer), completes a temporary assignment of 120 days or more (i.e., detail, temporary promotion, etc.), the rating official leaves a supervisory position, or to document a level of competence determination for within-grade increase purposes when the employee's most recent rating of record is not consistent with the level of competence determination
- 



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▶ Elements

- Minimum of one; no more than five
- All are “Critical”
 - A critical element is an assignment or responsibility of such importance that unsatisfactory performance in that element alone would result in a determination that the employee’s overall performance is unsatisfactory.
 - Critical elements must describe work assignments and responsibilities that are significantly influenced by an employee’s work effort and *within the employee’s control*

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▶ Mandatory Elements

◦ All Supervisors/Managers:

- Supervisory/Managerial Element: Performance of supervisory/managerial duties will be carried out in accordance with regulatory requirements and other Bureau/Office policies governing the following areas:
 - Diversity/EEO Obligations
 - Internal management controls
 - Merit Systems Principles
 - Safety and Occupational Health obligations
 - Effective performance management
 - Effective management of ethics, conduct and discipline issues

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▶ Mandatory Elements

- All employees:
 - EPAP must have at least one performance element that is linked to the strategic mission and Government Performance Results Act (GPRA)
- GPRA?

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- ▶ **Government Performance Results Act (GPR)**
 - There are 5 Overall Goals, relating to:
 - Resource Protection
 - Resource Use
 - Recreation
 - Serving Communities
 - Management Excellence
 - Which one do we use?



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- ▶ Serving Communities, Goal #4.1
 - Mission Goal: Improve protection of lives, property and assets, advance the use of scientific knowledge, and improve the quality of life for communities we serve
 - Goal #4.1: Improve Education for Indian Tribes



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▶ Timelines

- Appraisal Period for BIE Employees:
 - July 1 through June 30



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Appraisal Period	Title V Employees	July 1 – June 30
	Contract Year-Long Employees	
	Contract School-Year Employees	
Complete the Performance Appraisal for prior appraisal period that ends on June 30	Title V Employees	July 1 – July 31
	Contract Year-Long Employees	July 1 – July 31
	Contract School-Year Employees	30 days prior to the end of the current contract period
Maximum time to finalize current year performance standards	Title V Employees	July 1 – August 31
	Contract Year-Long Employees	July 1 – August 31
	Contract School-Year Employees	60 days from the beginning of the current contract period
Minimum Appraisal Period	All Employees	90 Calendar Days
Progress Review	All Employees	At least one, at approximately mid-point in the appraisal period
Interim Appraisal	All Employees	As Required



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DI 3100

US Department of the Interior
Employee Performance Appraisal Plan
September 2009

Previous edition obsolete





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DI 3100S

US Department of the Interior

Supervisory Employee Performance Appraisal
Plan

September 2010

Previous edition obsolete





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- ▶ What's the Difference?
 - Only the Mandatory Supervisory/Managerial Element relating to GPRA we already covered
- ▶ MUST use the DI3100S for all supervisory positions
- ▶ MUST use the correct versions of each form
 - Double-check each year
 - Links from our page to DOI Official Forms

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- ▶ How to incorporate the Performance Management Program in your day-to-day business





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- ▶ The first appraisal period is probably the most daunting
 - Filling out the form for the first time
 - Training the employees
 - Employee input to standards
 - The first “Progress Review”
 - The first “Rating of Record”

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- ▶ The Form
 - Employee Name and Social Security Number
 - Title/Series/Grade
 - Duty Station
 - Appraisal Period
- ▶ Then, introduce the program to your employees



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▶ Employee Training

- Use your employee orientation at the beginning of the school year
 - Download the PowerPoint training available on line, <http://www.bie.edu/HR/Resources/Labor/pmp/index.htm>
 - or
 - Create your own, using this training and the Handbook
- Make sure you have sign-in sheets and notes about what was covered – you'll need them later!



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- ▶ Employee Input Into Development of Standards
 - A requirement!
 - Different ways to accomplish
 - Employee & rating official jointly developing the EPAP
 - Employee providing the rating official with a draft plan
 - Rating official providing the employee with a draft plan
 - Employee writing one of the critical elements that he/she performs in his/her job



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- ▶ Notification of Standards
 - No later than 60 days from the beginning of the appraisal period
 - Sit down with employee and review
 - Make sure that the employee knows what is expected

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- ▶ Go back and check the dates and signatures on the form
 - Part A-3 should be dated first
 - Part A-2 is next
 - Part 1 is next
 - At this time, Part B and Part D is not signed or dated
- ▶ Provide a copy to the employee and retain the original in your records



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- ▶ Why do we want employees placed on Performance Plans as soon as possible after the appraisal period begins?
 - Must be working under those standards for 90 days in order to be eligible for an interim or annual rating
 - Must be working under those standards for a “reasonable” amount of time – usually 30 days – in order for rating official to draw performance conclusion



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- ▶ **Monitoring – or Feedback – or Progress Review**
 - The 62BIAM, CBA and Performance Management Handbook all require at least one formal review at approximately mid-way through the rating cycle
- ▶ **In addition:**
 - 62BIAM 11.72B requires at least three progress reviews during an employee's first contract term of 24 weeks or more, and at least one progress review each subsequent contract term



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- ▶ Huh?
 - CE/CY Employees in their first contract term of 24 weeks or more will receive at least 3 progress reviews their first year and at least 1 progress review in subsequent contract periods
 - All other employees will receive at least one formal progress review at approximately mid-way through the rating cycle
 - Noted on the employee's performance appraisal plan and signed and dated by both rating official and employee (Part B)
- ▶ Can you do more than one progress review?
 - Absolutely!



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- ▶ Rating officials are encouraged to frequently discuss performance with employees during the rating period.
- ▶ Particularly critical in the case of an employee who is not performing at the “fully successful” level
- ▶ It may be necessary to provide additional written criteria on performance expectations and/or set up regular feedback sessions with the employee



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- ▶ What do I talk about in a Progress Review?
 - Communication
 - Training Needs
 - Sufficiency of skills and knowledge level for successful performance
 - Status of work (challenging, fulfilling)
 - Delegation of assignments
 - Getting/giving regular feedback

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▶ How to prepare

- Request information from the employee on their key work accomplishments. Keep a “Kudos” folder for each employee with key accomplishments that you can refer to
- If you have specific issues to discuss, make sure you have prepared to discuss them clearly, concisely and calmly
- Think about (and document) what’s most important for you to tell the employee about how they are doing

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- ▶ How to prepare (continued)
 - Write down what you observed that the employee has done/accomplished/learned, what they did particularly well, and any areas where you may have been disappointed in how they performed, including what they could have done better
 - Include examples of specific projects or assignments

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- ▶ How to prepare (continued)
 - Think about whether the employee has the skills you think they need to do their job well, and write down any skills you think need to be gained or improved
 - Write down the key points and questions you want to discuss during the meeting
- ▶ At the end of the meeting, both you and the employee sign and date Part B of the front of the EPAP
- ▶ Give the employee a copy and retain the original for the final Rating of Record

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- ▶ If, in preparing for the performance discussions and/or finalizing the rating, you believe that the employee is not performing at a fully successful level, you should immediately contact your ER/LR Specialist to discuss what steps to take *prior* to meeting with the employee.

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- ▶ “The Rating of Record”
 - Evaluating employee performance against the elements and standards in the employee’s performance appraisal plan and assigning a rating of record
 - Based on work performed during the entire 12-month appraisal period, including temporary assignments over 120 days



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- ▶ To be eligible for a rating of record:
 - Be a permanent full- or part-time employee; and
 - Be under established standards for a minimum of 90 days; *or*
 - Be a temporary employee who has worked more than 120 days during the annual appraisal period; and;
 - Be under established standards for at least the last 90 days



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- ▶ Rating Critical Elements
 - Compile performance data from various sources
 - Ask employees to keep track of their own progress
 - Should also talk to customers and peers
 - Review documentation
 - Incorporate other feedback if available
- ▶ Goal: to ensure a complete picture of the employee's performance

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- ▶ The rating assigned reflects the level of the employee's performance as compared to the standards established.
- ▶ If an employee does not have an opportunity to perform a critical element during the rating period, no rating will be assigned and the words "Not Rated" should be written on the EPAP for that element

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- ▶ When assigning a rating for each element:
 - Read carefully each performance standard level beginning with Fully Successful, which is the base level standard
 - Determine the level that best describes the employee's performance on the element. Each and every criterion in the standard does not have to be met by the employee in absolute terms to assign a particular rating level. The sum of the employee's performance of the element must, in the rater's judgment, meet the assigned level's criteria

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▶ Interim Appraisal

- Written ratings prepared when an employee has worked under performance standards in the position for 90 days and one or more of the following occurs:
 - The employee changes position (i.e., reassignment, promotion, change to lower grade, transfer);
 - The employee completes a temporary assignment of more than 120 days (i.e., detail, temporary promotion, etc.);

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- ▶ Interim Appraisal (continued)
 - The rating official leaves the supervisory position more than 90 days before the end of the rating cycle;
 - To document a level of competence determination for within-grade increase purposes when the employee's most recent rating of record is not consistent with the level of competence determination. A rating for this purpose becomes the rating of record

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- ▶ Interim Appraisal (continued)
 - A copy will be provided to the new rating official and to the employee
 - Interim appraisals should be considered by the new rating official in assigning an official annual rating of record
 - Weight given to interim ratings in deriving annual ratings of record shall be proportional to their share of the appraisal period



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▶ The “Rating”

- Each performance element should be assigned one of the following ratings:

Rating Level	Points Assigned
Exceptional	5
Superior	4
Fully Successful	3
Minimally Successful	2
Unsatisfactory	0

- Ratings are recorded in whole numbers only!

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▶ Narrative Summary

- Required for ratings of Exceptional (Level 5), Minimally Successful (Level 2), or Unsatisfactory (Level 0)
 - Must contain examples of the employee's performance that substantiate and explain how the performance falls within the level assigned. Narrative must be recorded on the EPAP
- Encouraged, but not required, for ratings of Superior and Fully Successful

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- ▶ Review by Reviewing Official
 - Required for ratings of Exceptional, Minimally Successful and Unsatisfactory
 - Required prior to delivering the completed EPAP to the employee

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▶ Discussion with Employee

◦ Rating official should ensure:

- All necessary approvals of the rating of record have been completed
- Employee performance on each critical element during the rating period has been reviewed and noted, including tasks that were completed well and any areas needing improvement.
- Specific examples should be noted when possible or available

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- ▶ Discussion with Employee (continued)
 - Rating official should ensure:
 - A private location and adequate time has been set aside to meet with the employee, including time for employee input (as a general rule, 30 minutes to an hour for each employee)
 - Future expectations and goals of the organization have been considered



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- ▶ During the meeting, the rating official should:
 - Be professional, calm and focused on performance issues
 - Begin with positive feedback on tasks the employee has done well regardless of what the final rating is
 - Go through each element and discuss items of note, both positive and negative as appropriate and assign a rating
 - Provide specific examples when possible
 - Describe any changes in performance required and ensure the employee understands

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- ▶ During the meeting (continued)
 - Allow for employee questions and input throughout
 - Summarize the performance and assign the rating of record
 - Have the employee sign and date in Part D of the EPAP, where it indicates “Employee”
 - The supervisor signs and dates in Part D of the EPAP, where it indicates “Rating Official”
- ▶ When the EPAP requires review and approval by a reviewing official, you will have completed the rating, and your signature prior to this meeting with the employee

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- ▶ After the meeting
 - Supervisor provides a copy of the EPAP to the employee
 - Supervisor retains a copy of the EPAP for their files
 - Supervisor forwards the original EPAP to the Human Resources Office
 - School Year Employees: with contract renewal paperwork
 - Year-Long and Title V employees: within 60 days

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- ▶ What if the employee doesn't agree with the EPAP?
 - 370DM430 Performance Appraisal Handbook has process for reconsideration
 - Article 21 of the CBA: Section 4A(4)

“A bargaining unit employee may request reconsideration of a negative summary performance rating issued by the immediate supervisor in accordance with current DOI policy as captured in the DOI Performance Appraisal Handbook.”

 - “Negative summary rating” is less than fully successful

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- ▶ What if the employee refuses to sign?
 - Annotate that the employee refused to sign in the employee space, and sign your name in the rating official space

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- ▶ What about awards?





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- ▶ Nobody is ENTITLED to an award, cash or otherwise, regardless of their rating
 - ▶ 370DM430 – Performance Appraisal Handbook, employee must be rated a Level 4 (Superior) or Level 5 (Exceptional) to be ELIGIBLE for an award for sustained superior performance
 - ▶ Employees rated at Level 5, must be CONSIDERED for an award
- 

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- ▶ Article 19 of the CBA:
 - Section 3. General:

“As a means to reward an employee whose performance exceeds expectations and as an incentive for all eligible employees who meet established criteria, Management agrees to encourage the use of quality step increases, cash awards and non-monetary awards. Supervisors will be expected to monitor employees’ performance with this objective in mind. Approved awards will be processed in a timely manner.”



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- ▶ **Exceptional (Level 5) – eligible for:**
 - Individual cash award up to 5% of base pay;
 - Quality Step Increase (QSI)
 - Time-Off Award
- ▶ **Superior (Level 4) – eligible for:**
 - Individual cash award up to 3% of base pay;
 - Time-Off Award



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- ▶ Links to other personnel actions
 - Within-grade pay increases
 - Increments (contract educators)
 - Promotions (non-competitive career ladder positions)
 - Probationary/Trial Periods
 - Probationary Period for Supervisors and Managers
 - Determining additional retention service credit in a RIF
 - Determining eligibility to participate in Telework

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▶ Resources

- 370 DM 430 – Performance Appraisal Handbook
- DI3100 – US DOI, Employee Performance Appraisal Plan, September 2009 (previous edition obsolete)
- DI3100S – USDOl, Supervisory Employee Performance Appraisal Plan, September 2010 (previous edition obsolete)
- Collective Bargaining Agreement (CBA)
- 62 BIAM 11

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▶ Resources (Continued)

◦ BIE/HR Website:

<http://www.bie.edu/HR/Resources/Labor/pmp/index.htm>

- Training Material (fulfills the employee training rqt)
- GPRA Goals
- Links to forms
- Link to Performance Management Handbook
- Sample EPAP Language (Critical Elements/Standards)
- Download this PowerPoint presentation

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- ▶ Questions or Comments?
- ▶ Our other sessions this week:
 - How to Use Performance Appraisals to Evaluate Employee Performance
 - Beyond Performance & Misconduct: How to Utilize Progressive Discipline
 - Time & Attendance
 - Telework
 - Writing Vacancy Announcements