Performance Management for DOI
General Workforce

Nancy Miller
Chief of Labor and Employee Relations
Department of the Interior
202-208-6754

October 2007
Background

- FY07 – Marks the third year under DOI’s five-level performance management system for General Workforce
Employee Performance Appraisal Plans (EPAPs) must:

- Align with organizational goals
- Focus on results
- Include credible measures of performance
Performance Management Basics

- Ensure employee involvement
  - Employees participate in developing the performance plan

- Ensure adequate training
  - Employees and supervisors must be trained in the Performance Management System
Performance Management Basics

Feedback

- Progress reviews must be conducted
- Tracking of progress reviews (SHRO)
Performance Management Basics

- Ratings
  - Should be reflective of organizational performance
  - Distinctions in levels of performance
    - Rating distribution
Performance Management Basics

- Consequences
  - Awards
    - Cash, time-off, QSI
  - Addressing problem performance
    - WIGI denial
    - PIP
    - Dealing with supervisors who fail to effectively manage performance of subordinates
Developing Performance Plan

- Linked to job assignments and position description
  - Most important aspects of job
  - Projects or assignments that change from year to year

- Comprised of Critical Elements and standards
  - 1-5 critical elements
Developing Performance Plan

- **Alignment**
  - At least one critical element aligned with organizational goals
    - GPRA
    - Strategic Goals
    - Mission goals
Examples of Alignment
Developing Performance Plan

- Results-focused
  - Hold employee accountable for achieving results
Example – Results Focused Critical Element

- **Element**
  - Prepares budget submissions

- **Results Focused Element**
  - Budget is completed by deadline, is accurate and meets all CFO requirements.
Developing Performance Plan

- Credible Measures
  - Observable, measurable, demonstrable
  - Quality, quantity, timeliness, cost-effectiveness
Example – Credible Measures

- **Element**
  - Budget is completed by deadline, is accurate and meets all CFO requirements

- **Standard Using Credible Measures**
  - Budget is completed by June 15, with no major errors and no violations of CFO requirements (FS)
Benchmark Standards

- Developed for both employees and supervisors
- Describe standards of performance in general terms at each level
- **Must be augmented with measurable standards at the FS level**
Supervisory Mandatory Critical Element

- Holds supervisors accountable for
  - 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.
Examples of Delinquency in Performance Management Duties

- Standards not set in timely manner
- Progress reviews not accomplished
- End-of year reviews not accomplished in timely manner (or not at all)
- Performance awards not processed in a timely manner
- Failure to deal with poor performance
Dealing With Delinquency in Performance Management Duties

- Should be reflected in supervisor’s performance rating
- Serious delinquencies should prompt immediate corrective action
  - Counseling
  - Training
  - Removal from supervisory position during probationary period

October 2007
Ratings

Five rating levels for each element with point values

- Exceptional (5 points)
- Superior (4 points)
- Fully Successful (3 points)
- Minimally Successful (2 points)
- Unsatisfactory (0 points)
Summary Rating

Average score of all critical elements and:

- Exceptional – (4.6 – 5.0) and no critical element rated lower than Superior
- Superior – (3.6 – 4.59) and no critical element rated lower than FS
- Fully Successful – (3.0 – 3.59) and no critical element rated lower than FS
- Minimally Successful – (2.0 – 2.99) and no critical element rated lower than MS
- Unsatisfactory – one or more critical elements rated U
Annual Rating Cycle

- Corresponds to Fiscal Year for most of DOI
- Ratings are due within 30 days of end of rating cycle
- New performance plans are due within 60 days of the end of the cycle
- No presumptive ratings are allowed
  - 5 CFR § 430.208(a)(2)
Eligibility for Rating

- Employees are eligible for rating if:
  - They were on board at end of rating cycle
  - They were under standards for at least 90 days
    - Cycle may be extended up to 90 days to allow for rating
# Performance Awards

<table>
<thead>
<tr>
<th>Rating</th>
<th>Recognition</th>
</tr>
</thead>
</table>
| Exceptional           | • Cash award of up to 5% of pay (including locality and special rate supplements). *Awards above $5,000 require approved of respective Assistant Secretary, unless they are based on the 5% criteria.*  
• Quality Step Increase (QSI)  
• Time-off and other appropriate recognition |
| Superior              | • Up to 3% of pay (including locality and special rate supplements).  
• Time-off and other appropriate recognition. |
| Fully Successful      | • No performance-based recognition.  
• STAR and time-off awards throughout the performance year that are related to one-time accomplishments may be given. |
| Minimally Successful  | None        |
| Unsatisfactory        | None        |
Supervisory Obligations

- Rate all employees (Extend cycle where necessary)
- Prepare annual summary rating
- Refrain from using pre-determined rating distribution
- Include narrative for each critical element rated as Exceptional, Minimally Successful or Unsatisfactory
- Refer ratings of Exceptional, Minimally Successful or Unsatisfactory to reviewing official for concurrence before communicating to employee
- Discuss rating with employee
- Forward original appraisal form to servicing HR Office
SHRO Obligations

- Ensure revised EPAPs (September 2007) are used
  - Employee and Rating Official sign part A-2 verifying employee involvement was solicited by supervisor
  - Employee and Rating Official sign part A-3 verifying employee was provided training (attached to EPAP)

- Ensure progress reviews are completed
  - SHRO checks and certifies % of progress reviews completed mid-year

- Ensure ratings are accomplished by October 31
SHRO Obligations

- Goal – input ratings and awards into FPPS by November 30
- Goal – process QSIs by December 31
  - QSI delay allowed up to the following September 30
    - Requires memo to SHRO and Bureau/Office HR explaining reasons for delay signed by supervisor, reviewer and Bureau/Office Head
SHRO Obligations

- Assist supervisors with appropriate action when performance is unacceptable
  - Including action when supervisors do not fulfill their obligations

- Establish procedure to ensure new plans are set by November 30
  - Review plans to ensure adequacy
  - Provide assistance to managers as necessary
Questions???