

Performance Management for DOI General Workforce

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October 2007

Background

- FY07 – Marks the third year under DOI's five-level performance management system for General Workforce

Performance Management Basics

- 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

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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

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

Rating	Recognition
Exceptional	<ul style="list-style-type: none">• Cash award of up to 5% of pay (including locality and special rate supplements). <i>Awards above \$5,000 require approved of respective Assistant Secretary, unless they are based on the 5% criteria.</i>• Quality Step Increase (QSI)• Time-off and other appropriate recognition
Superior	<ul style="list-style-type: none">• Up to 3% of pay (including locality and special rate supplements).• Time-off and other appropriate recognition.
Fully Successful	<ul style="list-style-type: none">• 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???



October 2007