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# **FY 2016 Senior Professional Performance Management Training**

**Office of Corporate Executive Management  
October 2015**

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**OFFICE OF THE CHIEF  
HUMAN CAPITAL OFFICER**

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# Overview Performance Management



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# Overview Key Features

- **Assessed on Two Critical Elements**
  - **Critical Element I: Key Programmatic Accomplishments**
    - **Critical few program and mission related outcomes**
  - **Critical Element II: Key Leadership Attributes**
    - **Based on Executive Core Qualifications (ECQs)**
- **Weighting for all elements ensuring accountability for demonstrating leadership skills**
  - **60% weight required for Critical Element I**
- **Five-Level rating system**
  - **Established performance standards for each rating level**
  - **Standard numerical rating derivation formula**
- **Clear, descriptive performance standards and rating score ranges that establish mid-level ratings as the norm and top-level ratings as truly exceptional**
- **Mandatory summary rating narrative, promoting richer feedback**

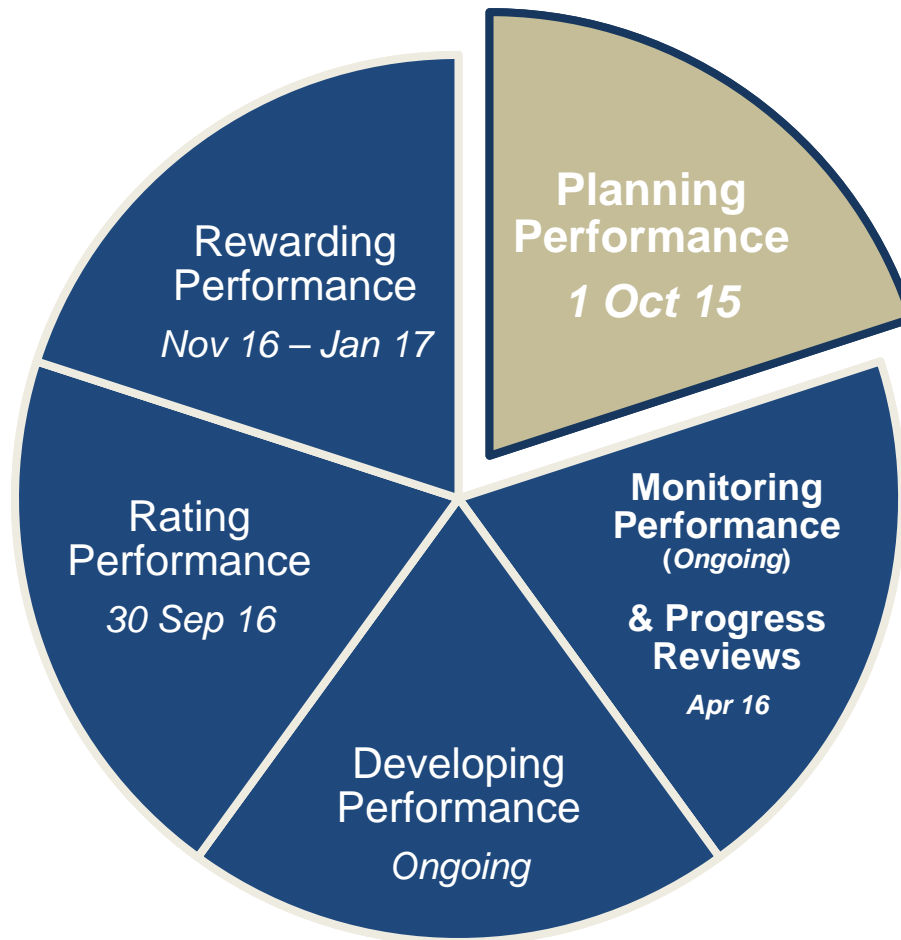
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# Overview Performance Cycle

- **Appraisal Period**
  - 1 Oct thru 30 Sep
  - **Minimum Performance Period is 90 days**
- **Approve Performance Plan**
  - **As close as possible to the start of the appraisal period**
- **Progress Reviews**
  - **One feedback sessions required (April)**
- **Initial Summary Rating**
  - **Provided by Rating Official and endorsed by Reviewing Official**
  - **No later than (NLT) 3 weeks from the end of the appraisal period**
- **Final Annual Rating approved by Appointing Authority or designee**

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# Planning Performance



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# Planning Performance

- **Three important aspects to planning performance include:**
  - Link performance plan to organizational goals
  - Develop results driven performance requirements
  - Consult with executives on the development of their performance plans
- **Performance plans must clearly link to:**
  - Presidential Orders and Initiatives
  - Mission Statements
  - Strategic Plans
  - Organizational Goals
  - Budgetary Priorities

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# Planning Performance: Critical Element I

- **Focuses on the “critical few” outcomes and results expected during the performance year**
  - **Must be linked to DOE’s or the organization's strategic goals in the SL/ST member’s area of responsibility**
  - **Must be measurable and specific and operationalized in terms of expected outcomes/results, timeframes, final products and services delivered**
    - **Outcomes are more meaningful (to customers, stakeholders and the public) than outputs, which tend to be more process-oriented or means to an end**
- **Individually crafted between SL/ST member and their rater**



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# Planning Performance Critical Element II

Sub-Elements	Description	Highlights of Mandatory Language
<b>Leading Change</b>	Innovates, integrates, and implements needed change based on the organizational vision, mission and goals	Ability to develop and implement an organizational vision that integrates key organizational and program goals, priorities, values, and other factors
<b>Leading People and/or Programs*</b>	Two-way communication with the employee and active solicitation of employee feedback	Ability to provide leadership/support to improve the hiring process, improve diversity of organization, ensure employees know & understand strategic goals & are held accountable for results against standards
<i>*Required only for Supervisory SL/ST members</i>		
<b>Business Acumen</b>	Proper and mission beneficial use of human, financial, material and information resources	Ability to acquire and administer human, financial, material, and information resources in a manner that instills public trust and accomplishes the program's mission
<b>Building Coalitions</b>	Two-way communication with the customer and active solicitation of customer feedback	Ability to explain, advocate, and express facts and ideas in a convincing manner and to negotiate with individuals and groups internally and externally
<b>Results Driven</b>	Accountability and continuous improvement	Ability to make timely, effective decisions & produce results through strategic planning & the implementation & evaluation of programs

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# Planning Performance Two Critical Elements

- **Each Critical Element has a total weight:**
  - **60%: Critical Element I - Key Programmatic Accomplishments**
    - Flexibility given in establishing requirements 3 – 5 objectives
    - Flexibility given to organizations to determine weights of each objective (5% – 20%)
  - **40%: Critical Element II – Key Attributes**
    - Uses standardized performance requirements with mandatory language preloaded into performance template
    - Flexibility given to organizations to determine weights of each sub-element (5% – 20%)

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# Planning Performance – Measurable Results

- **Critical Element I performance requirements must include credible measures with targets of performance.**
  - Metrics that are used to gauge program performance; output or outcome measures
- **Effective performance measures indicate:**
  - How well the executive is doing
  - If the executive is meeting goals
  - If customers are satisfied
  - If processes are within statistical controls
  - If and where improvements are needed

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# Planning Performance – Measurable Results

- **Quantity**
  - Number of products or services provided, or a production quota to be met, or percent to be achieved
  - Consider the customer/stakeholder needs for numbers achieved or produced
- **Examples of Quantity Measures:**
  - Backlog reduced by 50-55%
  - An average of 100 cases resolved per month over the year
  - A 60-75% increase in stakeholder use
  - The percentage of lead in the water is reduced by 10-15%

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# Planning Performance – Measurable Results

- **Quality**
  - Address the level of excellence of the achievement, to include accuracy, appearance, customer satisfaction, relevance, usefulness, functionality, and/or effectiveness
  - Consider whether the customer/stakeholder cares about the quality of the result
- **Examples of Quality Measures:**
  - Organization has a 95-97% accuracy rate in case completion
  - Program policy supports the administration's initiative
  - Policy incorporates stakeholder feedback
  - 70-80% customer satisfaction rate within organization

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# Planning Performance – Measurable Results

- **Timeliness**
  - Timeframe or deadline for the result
  - Consider whether customers/stakeholders care when a result is achieved
  - Consider whether it is important to accomplish a result by a certain time or date
- **Examples of Timeliness Measures:**
  - Results achieved by 1 June
  - Project meets quarterly milestones
  - By established deadlines
- **Performance requirements must have more measures than “complete by September 30”**

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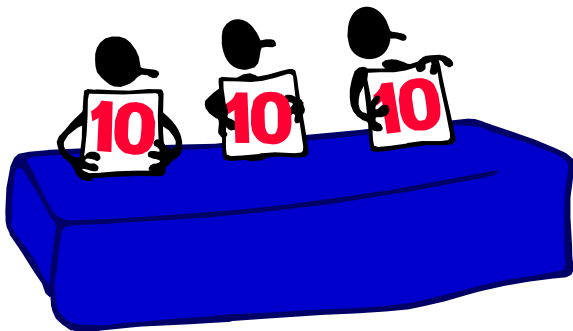
# Planning Performance – Measurable Results

- **Cost-Effectiveness**
  - **How much savings or cost controls**
    - **Important for Government accountability**
    - **Must be able to document and measure**
  - **Consider whether it is important to complete work or produce results within certain cost constraints**
- **Examples of Cost-Effectiveness Measures:**
  - **Reduced expenses by 1 - 3% while maintaining quality**
  - **Reduced waste by at least 5% while maintaining quality**
  - **Completed project within 5% of budget without exceeding budget**

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# Planning Performance – Measurable Results

If the measure is more descriptive than numeric, the performance result must include:



Person or group that could judge performance (e.g. customers, stakeholders, supervisor)



Factors that the judge would expect in performance



What the judge can observe and report to verify the performance level achieved



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# Planning Performance – Measurable Results

- **For each objective identified in the Critical Element I (output and/or outcome), ask**
  - **How can the [quantity, quality, timeliness, or cost-effectiveness] of the result be measured?**
  - **Is there a number or percent that can be tracked? If not, who can determine that the performance result met expectations and what are the factors that person would look for?**
- **Pre-determined agency High Priority and Strategic Goals can help answer these questions**

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# Planning Performance – Measurable Results

- **Key points when developing performance requirements for Critical Element I:**
  - **DON'T** list tasks and activities (e.g., hold five meetings; visit eight field locations)
  - **DO** identify the desired outputs, outcomes
- **If you're having difficulty turning an activity into a measureable output or outcome, try this trick to getting your thoughts moving in the right direction... Just fill in the blanks in the following:**

I will     (do what?)     by     (when?)     resulting in  
\_\_\_\_\_, and my success can be verified using  
\_\_\_\_\_.

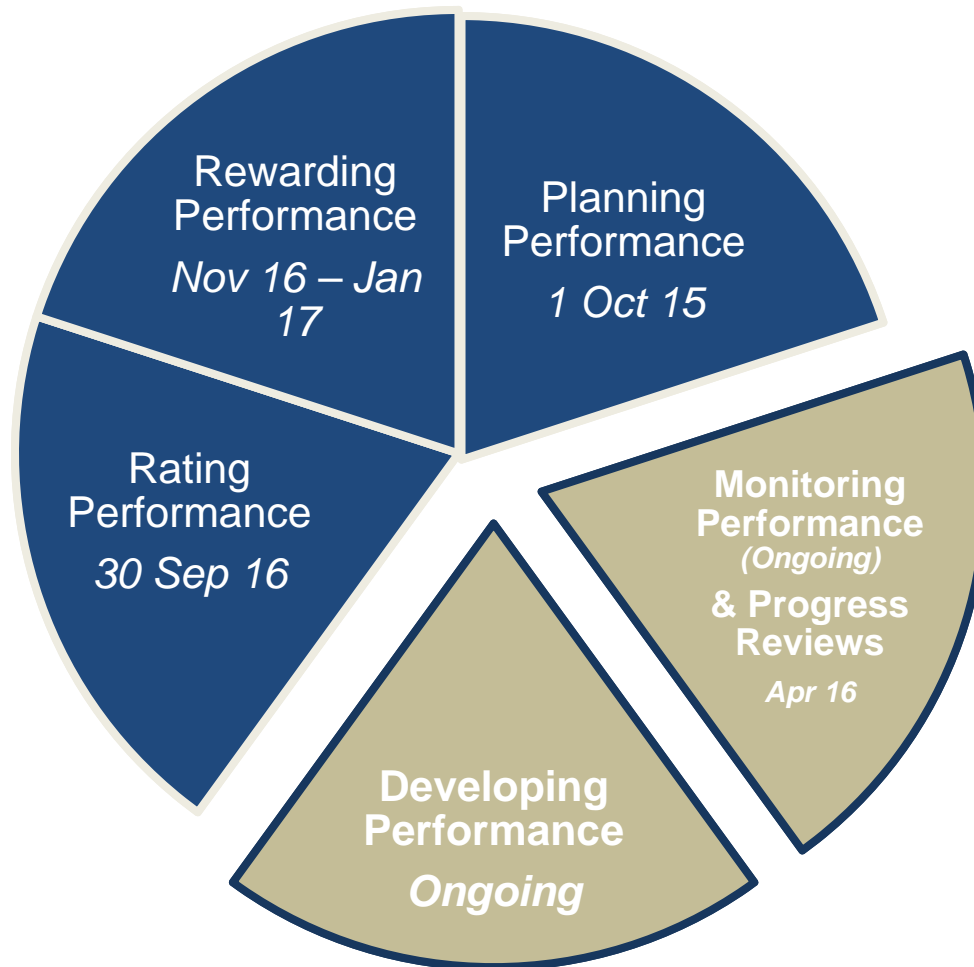
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# Planning Performance – Measurable Results

- **Writing Requirements and Guidance**
  - **Measurable standards must be written at the “fully successful level”**
    - **Avoid writing standards that have no room to exceed expectations**
  - **Ensure standards are written at the executive level and are challenging enough (e.g., I will attend 7 meetings)**
- **S.M.A.R.T.-Q Framework**
  - **Performance requirements should be:**
    - **Specific**
    - **Measurable**
    - **Aligned**
    - **Realistic**
    - **Timeframe-bound**
    - **Quality**

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# Monitoring and Developing Performance



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## Monitoring & Developing Performance Progress Reviews

- **Performance feedback should be given on a regular basis throughout the appraisal period, but at least one documented progress review is required:**
  - **Progress review occurs in April**
  - **Must be documented on the performance plan**
  - **If an employee is failing to meet expectations, he or she must receive specific feedback on what needs to be improved in order to meet expectations**

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# Monitoring & Developing Performance Feedback Meetings

- **Preparing for the meeting:**
  - **Review Summary Ratings Levels definitions in the Performance Plan and Appraisal Form instructions**
    - **Critical Element I**
      - **Specific to individual and organization**
    - **Critical Element II**
      - **Note: All SL/ST members have the same language for these elements**
    - **Progress review** (*appraisal time only*)
    - **SL/ST member's accomplishment narrative** (*appraisal time only*)
  - **Anticipate potential areas of disagreement and be prepared to articulate your position providing specific examples and facts**
  - **Set up a time and place for the meeting that is comfortable for both and allows sufficient time without interruptions**
  - **Set the agenda for discussion**

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## Monitoring & Developing Performance Feedback Meetings

- **Conducting the Meeting:**
  - **Summarize the elements of the performance plan and goals established at the beginning of the rating cycle**
  - **Offer employees the chance to reflect first by asking them how they think the year has gone for them; listen to their answer until they are finished, without interrupting; agree with whatever you can and reframe anything they have said that is overly self-critical**
  - **Be objective; stick to the facts and provide specific examples of performance strengths and weaknesses**
  - **Discuss each Critical Element prior to providing the employee with his/her summary rating (*appraisal time only*)**

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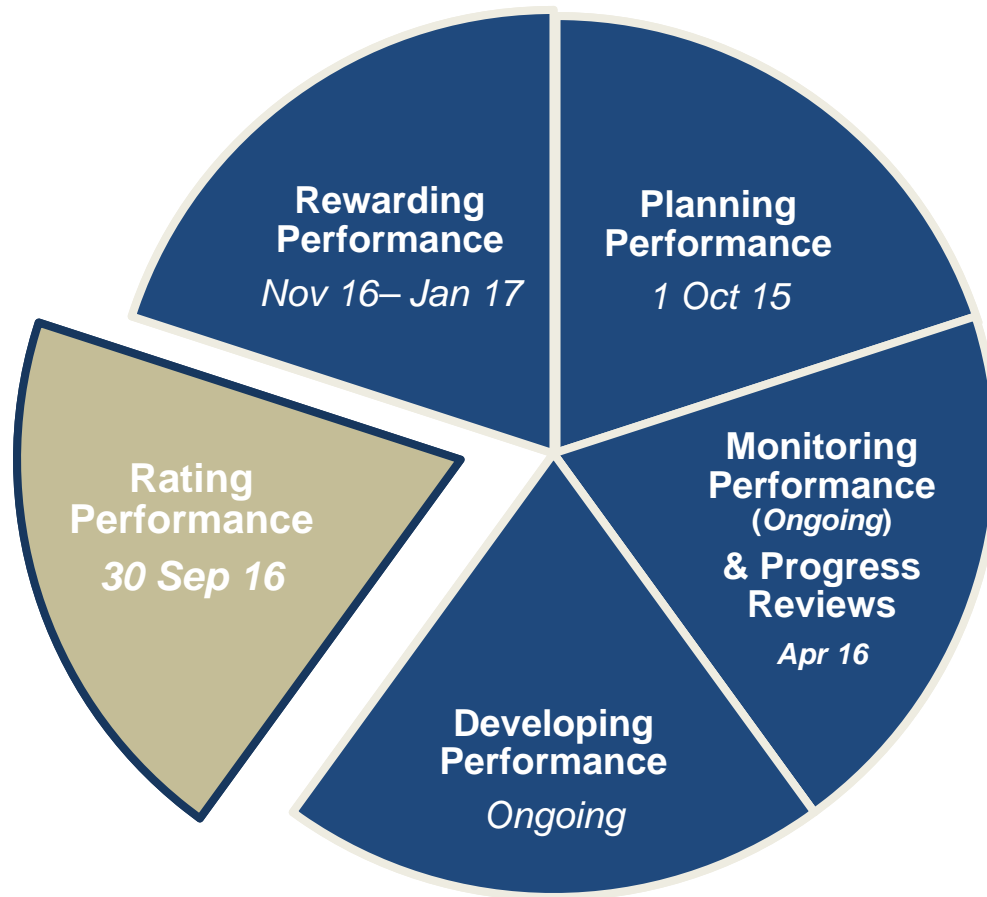
# Monitoring & Developing Performance Feedback Meetings

- **Pitfalls to avoid:**
  - **Surprises** – there should be no surprises for the employee during the performance review conversation
  - **Halo and horns effect** – in which everything discussed in the meeting involves positive and negative recent events
  - **Damaging morale/relationship** – Feedback that is not balanced and delivered with respect for the person's dignity will destroy trust and result in defensive behavior and withdrawal
  - **Failing to address performance problems**
  - **Losing focus and getting drawn into an unproductive debate**



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# Rating Performance



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# Rating Performance Rating Level Descriptions

**Five rating levels with standard numeric identifiers to provide consistency and numerical scoring for summary rating, ranging from 1 (lowest) to 5 (highest)**

Rating Levels	Description	Rating Score
<b>Outstanding</b>	Demonstrates an extraordinary degree of initiative and self-reliance in identifying and resolving problems or requirements of the work situation and in developing, recommending or executing innovative solutions successfully to accomplish tasks ahead of target	5
<b>Exceeds</b>	Signifies that the results achieved are clearly beyond what could be reasonably expected	4
<b>Meets Expectations</b>	Achieved performance results are those that can be reasonably expected of any employee on the job in order to fully and adequately achieve assigned responsibilities.	3
<b>Minimally Satisfactory</b>	Signifies significant performance related problems (e.g.: limited ability in producing work of acceptable volume and/or quality within established timeframes, requires frequent guidance and assistance)	2
<b>Unsatisfactory</b>	Consistently fails to meet the established performance standards in one or more of the Critical Elements	1

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# Rating Performance Rating Derivation Formula

- **Each objective is individually scored and multiplied by the designated weight**
  - **Initial sum for each element is added to compose total score**

*EXAMPLE	Rating Level		Score	Final Rating Level Derivation Formula		
Critical Elements	Initial Element Rating	Weight	Initial Point Score			
<b>Critical Element 1 (60%): Key Programmatic Accomplishments</b>				<b>Outstanding</b>	<b>Level 5</b>	<b>475 – 500</b>
- Objective 1	5	15	5 X 15 = 75			
- Objective 2	4	15	4 X 15 = 60	<b>Exceeds</b>	<b>Level 4</b>	<b>387 – 474</b>
- Objective 3	3	15	3 X 15 = 45			
- Objective 4	3	15	3 X 15 = 45	<b>Meets Expectations</b>	<b>Level 3</b>	<b>300 – 386</b>
<b>Critical Element 2 (40%): Key Leadership Attributes</b>						
1. Leading Change	4	10	4 x 10 = 40	<b>Minimally Satisfactory</b>	<b>Level 2</b>	<b>200 - 299</b>
2. Leading People	NR	N/A	0			
3. Business Acumen	3	10	3 x 10 = 30	<b>Unacceptable</b>	<b>Level 1</b>	<b>0 - 199</b>
4. Building Coalitions	4	10	4 x 10 = 40			
5. Results Driven	4	10	4 x 10 = 40			
				<b>Any CE rated Level 1 = Level 1</b>		
		<b>Total</b>	<b>100</b>	<b>375</b>		

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## Rating Performance – Rating Official Responsibilities

- **Appraise executives realistically and fairly**
- **Make meaningful distinctions in performance**
- **Discuss overall performance and Initial Summary Rating**
- **Quantify results and impact of performance**
- **Do not discuss performance payout information (i.e. pay adjustments or performance awards) until approved by the Appointing Official**

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# Rating Performance Writing Accomplishments

## Seven Tips for Writing Accomplishment Narratives:

1. Address each performance element individually and focus on results achieved
2. Use key words (but not jargon) to clearly link to the level of performance demonstrated
3. Focus and prioritize achievements
  - Describe the conditions under which you achieved your accomplishments
  - If you overcame challenges, describe them
4. Write in the past tense
5. Write in first person (e.g., “I”, “me”, “my”)
6. Describe why your accomplishments matter (impact)
7. Be succinct

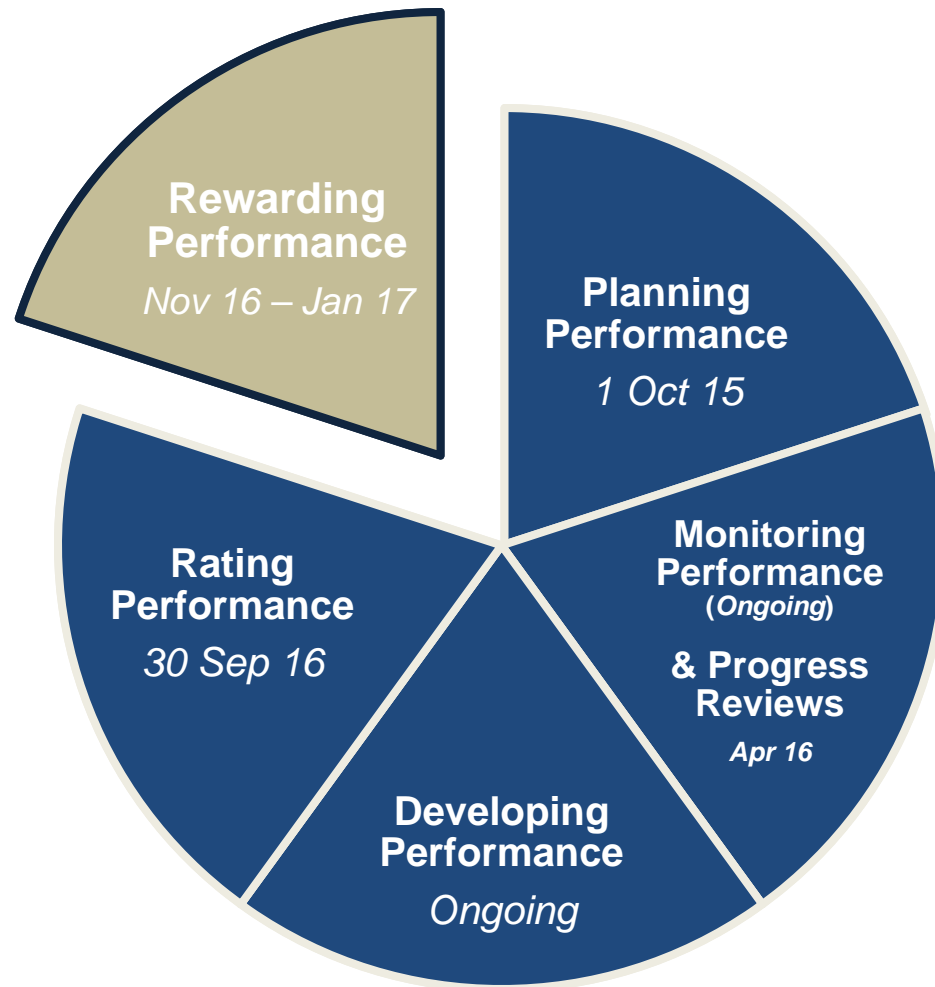
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## Rating Performance Higher Level Review

- **After receiving their Initial Summary Rating (ISR), an SL/ST member may request, in writing, a Higher-Level Review (HLR) within 7 calendar days of receipt**
- **Higher Level Review Official (HLRO) must respond, in writing, HLRO provides findings and recommendations to the executive, Rating Official, Performance Review Board (PRB), and Appointing Official**
- **HLRO cannot change the Rating Official's ISR but may recommend a different rating to the PRB and Appointing Official**

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# Rewarding Performance



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# Rewarding Performance

## PRB

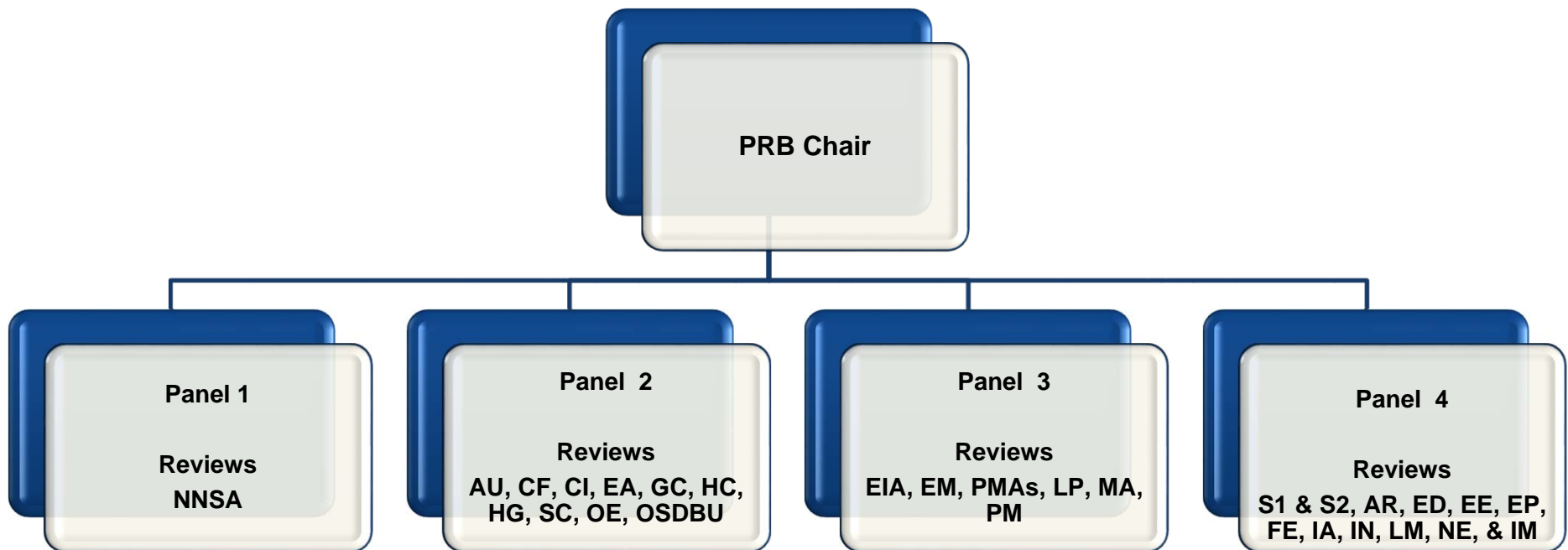
- **Reviews and evaluates the SL/ST member's appraisal and ISR (i.e. the overall rating and written assessment)**
- **If applicable, reviews SL/ST member's request for HRL and HLRO's findings and recommendations**
- **Makes written recommendations to the Appointing Official on:**
  - **Annual summary ratings**
  - **Pay increases and performance awards**
- **Ensures meaningful distinctions in performance and payout decisions are made based on individual and organizational performance results**
- **PRB Chair addresses any concerns directly with the appropriate assistant secretaries or equivalent**
- **SMRB performs a review and addresses any concerns identified by the PRB**



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# Rewarding Performance DOE'S PRB

- The PRB is headed by a Chair person and is comprised of four separate panels each with four members
  - One of the four members serves as the panel chair
- Each panel has responsibility for reviewing the initial rating and award recommendations for all SES/SL/ST in assigned organizations



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# Rewarding Performance Appointing Official

- **Delegated to DOE's Deputy Secretary**
- **Considers PRB recommendations to assign Annual Summary Ratings**
- **Considers PRB recommendations for pay adjustments and performance awards**
- **Ensures pay increases and performance awards accurately reflect and recognize individual performance and contribution to the DOE mission**
- **Communicates assessment results and evaluation guidelines**

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