

DEVELOPING OUTCOMES FOR PERFORMANCE PLANS
HHS Performance Management Appraisal Program (PMAP)
Workforce Relations Division, OHR
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1. APPRAISAL FORM CONTENTS

In the new HHS Performance Management Appraisal Program (PMAP) plan, employees have two categories of critical elements: (1) Administrative Requirements, and (2) Individual Performance Outcomes.

- The administrative "requirements" for part 1 that pertain to an employee's work situation constitute one critical element.
- The focus of this outline is on part 2, where supervisors and their employees are required to identify and delineate three to five "outcomes" on performance plans.
- Each outcome is a stand-alone critical element.

2. DEFINITIONS

Outcomes are statements which express specific end results.

- They may be viewed as the targeted deliverables at the end stage of an activity. They are the products, services, or other tangible (or intangibles) that "leave" the office or program and are intended to serve the needs of a client.
- Outcomes are impact statements. They may convey a reduction of costs; increased satisfaction by clients; more effective patient treatments; or the reduction in the degree or severity of a disease in a given population.
- Activities performed by the employee lead to outcomes.
- Activities are described using *verbs* (see a. below); outcomes are described using *nouns* (see b. below).
- The second example is preferred, as it includes a measure and focuses on the end-result of what is conducted (the tests) rather than the activity or effort leading to it.

LAB TECHNICIAN

- a. **Employee conducts tests.**
- b. **Five tests conducted daily in compliance with unit standards for quality.**

3. "SMART" PLANS

The PMAP program plan states that the contents of performance plans should be SMART:

- Specific:** Goals and expectations are clearly stated and direct.
- Measurable:** Outcomes are being achieved in comparison to a standard.
- Attainable:** Goals or results/outcomes must be achievable and realistic.
- Relevant:** Goals have a bearing on the overall direction of the organization, including the "One HHS" Program and Management Objectives.
- Timely:** Results are measured in terms of deadlines, due dates, schedules, or cycles.

While NIH recognizes that this formula helps provide a framework, there is acknowledgement that sometimes research activity may be difficult to measure. Many outcomes are not calculable or cannot be quantified in advance; knowledge gained is not always of immediate value or application; and results may be unpredictable. Measures should be selected with care in order to avoid inappropriate focus on tabulations, rather than results. Supervisors may wish to consider the complexity of a project or initiative, and focus on important milestones along a continuum that represent progress toward those future-focused outcomes. Relevant, balanced measures, such as those that incorporate both quality and quantity, (manner of performance and timeframes) may be applied to provide a richer, more detailed picture of expectations, as illustrated in the previous example, Lab Technician (part b.) under DEFINITIONS, and in the example below:

PRINCIPAL INVESTIGATOR

1. Critical Element: Outcome

Principal Investigator Research Program

Effective supervision of a personal research program in CY 06, as evidenced by all of the following:

- Maintenance of required administrative standards;
- Budget allocation maintenance;
- Maintenance of designated staffing and resource levels and HR requirements; and
- Promotion of safety standards and codes.

2. Critical Element: Outcome

Principal Investigator Research Program

Demonstrated Progress in Research Program

Documentation of substantial progress in annual project reports, as indicated by two of the following for CY 06:

- Publication or acceptance of review articles;
- Peer-reviewed manuscripts published or accepted for publication;
- Participation in manuscript reviews and serving on editorial boards;
- Peer recognition through invitations to provide presentations at scientific symposia, meetings, and/or seminars;
- Appointments to committees, review panels, or scientific society positions;
- Recipient of awards and other notable accomplishments; or
- Patient care and/or clinical research responsibilities and clinical protocol development and implementation - as applicable.

4. **REQUIREMENTS FOR CASCADING**

Employee efforts and performance expectations will support the work of the supervisor and/or the organization.

- Under the PMAP, at least one outcome will cascade from, or "track back" to, one of the "Top Twenty" HHS objectives that are derived from the HHS Strategic Plan. The language to be provided is as follows: *"This element relates to, and supports, Objective No. (provide number and heading), in the "One HHS" program and management objectives."*
- Those objectives are located at:
<http://hr.od.nih.gov/PerfMgmt/20Department-WideObjectives.htm>
- Outcomes may also relate to the NIH roadmap; GPRA or other programmatic goals; or to the goals of other stakeholders, and/or customers; employees may indicate references to these specific objectives in their plans, if desired.

5. **PERFORMANCE LEVELS**

The PMAP defines four performance levels ("standards" or thresholds for

performance) for managers and supervisors to assess achievements regarding each completed critical element and outcome.

- Outcomes on performance appraisal forms need only be written at the **Fully Successful** level.
- The outcome identified on the performance appraisal form is the presumed "Fully Successful" level. There is no requirement for writing additional performance levels, although managers may wish to define these levels for employees and commit them to writing, when plans are established. If managers choose to annotate levels/standards, then each level provided should be clearly identified.
- Each outcome will include a measure related to quality; quantity/productivity; customer satisfaction; efficiencies realized; effectiveness; timeliness; manner of performance, etc. The OPM website, <http://www.opm.gov/perform/articles/118.asp> provides additional information on developing performance measures. As stated earlier, care should be taken to identify targeted outcomes that are realistic, meaningful, and measurable given the particular environment.
- Supervisors should use data collection methods that are not overly time-consuming or difficult to manage.

6. SAMPLE OUTCOME STATEMENTS

- The following are fictitious examples of outcomes that might appear as Individual Performance Outcome Critical Element Descriptions on appraisal forms:
 - Four publications disseminated by second quarter FY 2006.
 - Two research forums convened that further stated IC goals and incorporate management, stakeholder, and client specifications and requirements.
 - Training provided to 100% of IC employees who are "covered" by the new HHS performance management program.
 - Customized Leadership Development courses delivered to participants by Dec. 31, 2006.
 - Implementation of all proposed enhancements to the New Employee Orientation program by June 30, 2006.

Other outcome formats:

- Consultation services - each of the following are to be achieved:
 - Consultations scheduled by employee within two days of customer request.

- Customer satisfaction survey provided by employee to his/her customers within two days of provision of service.
- Management of protocol processes - includes all of the following:
 - Audits conducted within 5 days of Council member visits.
 - 98% accuracy rate achieved for each protocol.
 - Database entry completed within 2 days of receiving protocol.
 - 98% of referrals completed within Division predetermined timeframe.
 - Commissioner quality assurance standards achieved 98% of time.
- Office files maintenance - includes all of the following:
 - Files are retrievable, logically organized, clearly labeled, and neat, as determined in supervisory review.
 - New files are established within 2 days of supervisor's request.
 - Requested documents from files are retrieved and reproduced for supervisor within 2 days of request.
- Project Plan Development -completed project plans include all of the following:
 - Statement of clear, understandable objective
 - Description of how project aligns with NIH strategic goals and IC GPRA goals
 - Realistic proposed resource estimates including costs and manpower requirements
 - Identification of proposed project risks and potential obstacles, and
 - A "PERT" chart or timeline with identification of key activities, stakeholders, clients, projected outcomes, and deadlines.

7. EXAMPLES OF CASCADED OUTCOMES:

Example 1:

a. Executive Officer:

Outcome (Critical element) Description: Human Capital

- Placement of all IC covered employees on appraisal forms under the new HHS performance program by June 30, 2006.

This element relates to, and supports, Objective No. 2, Strategically Manage Human Capital, in the "One HHS" program and management objectives.

b. Division Director within same IC:

Outcome (Critical element) Description: Human Capital

- HHS-sponsored on-line training for covered division employees completed by May 06.

- Performance plan establishment discussions completed for all Division employees and sign-offs obtained on new plans by June 30 2006.

This element relates to, and supports, Objective No. 2, Strategically Manage Human Capital, in the "One HHS" program and management objectives.

c. Performance Liaison With same IC:

Outcome Description: Human Capital

- Identification of all IC employees requiring on-line training completed by
- March 30, 2006; training dates provided to this group by second week of April; and performance plans developed by June 15, 2006.

This element relates to, and supports, Objective No. 2, Strategically Manage Human Capital, in the "One HHS" program and management objectives.

Example 2:

a) IC Director:

Outcome Description: Outreach Activities

- Three new IC activities instituted that are designed to enhance the inclusion of women and minorities in the Institute's clinical research studies - FY 2006.

This element relates to, and supports, Objective No. 17, Emphasize Faith-Based and Community Solutions," in the "One HHS" program and management objectives.

b) Division Director in same IC:

Outcome Description: Outreach Activities

- Institute publications disseminated in 2006 are bi-lingual; language-appropriate, and web-accessible.
- Public broadcasts in 2006 made available on national network, cable television channels, and radio stations promote clinical trials targeted to women and minorities.
- Recruitment video marketed by second quarter 06 in community and faith-based venues including inner-city churches and mall health fairs.

This element relates to, and supports, Objective No. 17, Emphasize Faith-Based and Community Solutions," in the "One HHS" program and management objectives.

c) Secretary in same Division:

Outcome (Critical element) Description: Outreach Activities

- Outreach meetings scheduled for Division Director within two days of request.

- IC promotional materials package disseminated to designated churches and mall contacts within two days of Division Director's request.

This element relates to, and supports, Objective No. 17, Emphasize Faith-Based and Community Solutions," in the "One HHS" program and management objectives.

Example 3:

a. IC Director:

Outcome (Critical element) Description:

- One new potential therapeutic target identified by conclusion of FY 2006:
- New research program identified and maintained which examines fundamental cellular processes.
- Five forums sponsored this year where fundamental research findings resulting from this activity are disseminated to clinical investigators.

This element relates to, and supports, Objective No.5, Advance Medical Research, in the "One HHS" program and management objectives.

b. Division Director:

Outcome (Critical element) Description:

- Four new positions filled by June 2006 via recruitment to academia (positions include graduate student, post doctoral, tenure track, and tenured investigator levels) and assigned to new therapeutic target.

This element relates to, and supports, Objective No.5, Advance Medical Research, in the "One HHS" program and management objectives.

Outcome (Critical element) Description:

- One proposed publication resulting from research findings on the new therapeutic topic is begun by conclusion of FY 2006.

This element relates to, and supports, Objective No.5, Advance Medical Research, in the "One HHS" program and management objectives.