



Workshop on Developing Performance Management Plans for Senior Leaders

Working for America

Department of Defense
Civilian Personnel Management Service
December 2009

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT





Welcome

Presenters:

Samantha Adrignola – HR Consultant, OPM

Felicia Harper – HR Consultant, OPM

Brandon Boyd – HR Consultant, OPM



Agenda

8:00am-8:30am	Introduction
8:30am-10:00am	Background & Context
10:00am-10:15am	Break
10:15am-11:00am	Exercise 1: Evaluating and critiquing sample standards
11:00am-12:00pm	Tips and Strategies for Writing Standards
12:00pm-1:00pm	LUNCH
1:00pm-1:30pm	Tips and Strategies continued
1:30pm-2:30pm	Exercise 2: Improving Sample Standards
2:30pm-2:45pm	Break
2:45pm-4:00pm	Exercise 3 Practice Writing Performance Standards
4:00pm-4:30pm	Closing



United States of America

Section 1

Performance Management Framework

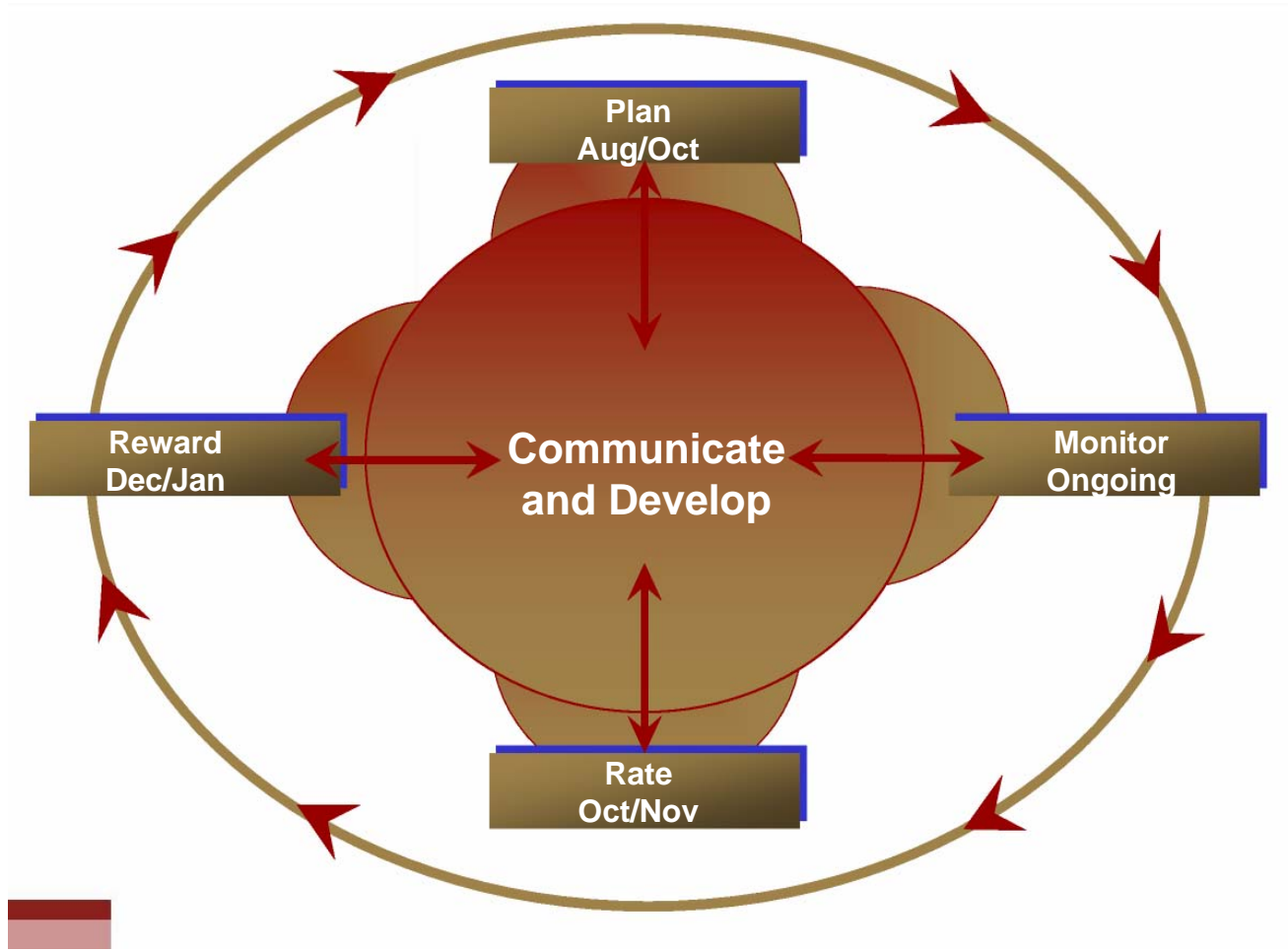




Background and Context

- Performance Management is the process of:
 - Planning work
 - Monitoring performance
 - Developing or improving the capacity to perform
 - Rating performance
 - Rewarding good performance

Performance Management Cycle

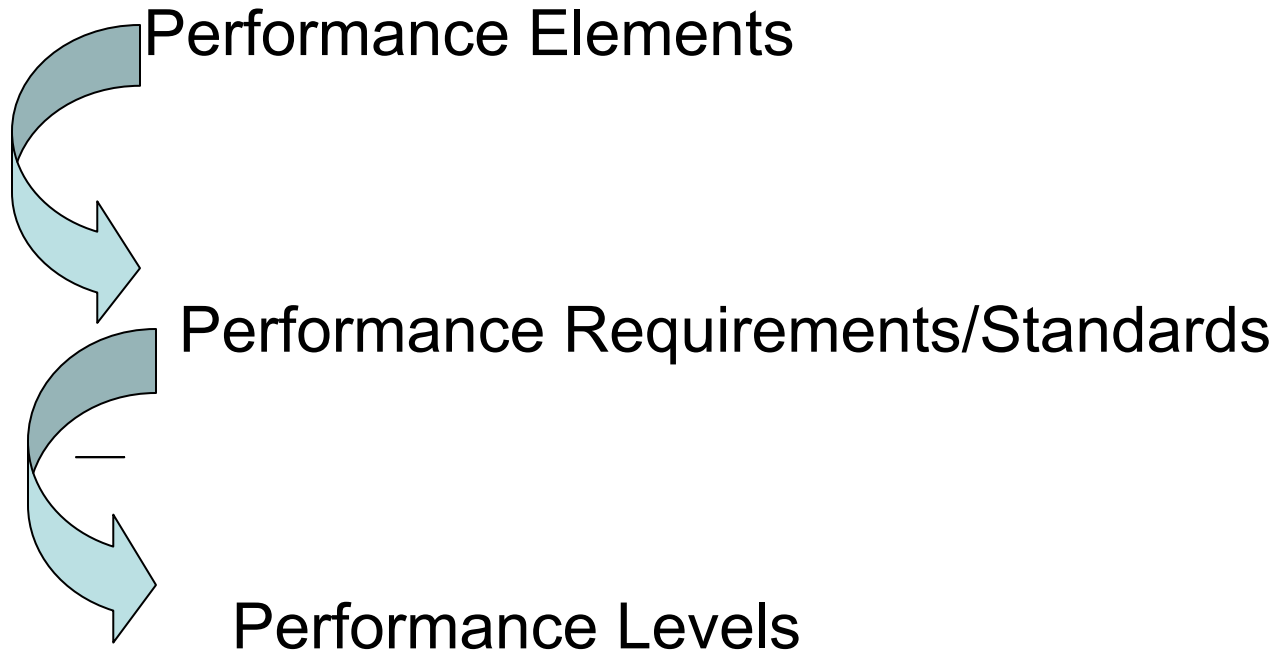


A vertical strip of an American flag is visible on the left side of the slide, showing the stars and stripes.

Performance Planning

- There are three important aspects of the planning process:
 - Align and Plan for Performance
 - Write the Performance Plan
 - Engage in Open Dialogue

Components of Performance Plan



A vertical strip of an American flag is visible on the left side of the slide, showing the stars and stripes.

Performance Elements

- Performance Elements are the ***critical*** components of an employee's work that contribute to organizational goals and results.
- There are seven Performance Elements, three are required for performance plans.



Weighting Performance Elements

All Performance Elements must be weighted.

- Contribution to Mission Performance Element must comprise at least 60% of the plan.
- The sum of the weights for all Performance Elements used must equal 100%.

Performance Element	Mandatory for...	Mandatory Weight
Leadership/Supervision	SES, SP as applicable	
Contribution to Mission Accomplishment	SES, SP	at least 60%
Customer Care	SES	
Communications		
Cooperation/Teamwork		
Resource Management		
Technical Competence/Problem Solving	SP	



Performance Standards

Performance Elements are defined by Performance Requirements, also known as Performance Standards

- Typically one to four standards for each Element
- Describe how well employee is expected to perform
- Must be of sufficient depth and complexity to reflect the high-level work of Senior Leaders



Mandatory Supervisor Standards

For employees who supervise others there are two mandatory Performance Standards in the Leadership/Supervision Performance Element:

1. Senior Executive achieves results in promoting equal employment opportunity, affirmative action, and diversity.



Mandatory Supervisor Standards

2. Evaluating performance of subordinate employees and helping them develop plans that:

- Align with organizational goals.
- Are rigorously and realistically appraised against clear and measurable performance standards.
- Consider employee and customer views in achieving organizational results.



Performance Levels

There are five levels of performance used to assess achievement of each individual element. From highest to lowest, those levels are:

- **Exceptional Results:** Performance far exceeds expectations.
- **Exceeds Expected Results:** Performance that surpasses what is expected.
- **Achieved Expectations:** Performance that fully meets the attainment of requirements.
- **Minimally Satisfactory:** Performance that partially meets or demonstrates progress toward attainment of requirements.
- **Unsatisfactory:** Performance that fails to meet the requirements.



Performance Levels

- Performance Levels are criteria incorporated into each Standard that define the level of accountability required.
- Standards should be defined at the “Achieved Expectations” level.



Writing Performance Plans

Effectively written Performance Plans are:

- Tied to a timeline
- Clear, specific, and understandable
- Reasonable and attainable
- Measurable, observable, or verifiable
- Emphasizing appropriate aspects of the work
- Focused on results



SMART-Q Framework

Designed to aid in writing standards that clearly describe performance that is measurable or verifiable and focused on tangible outputs, outcomes and milestones.

Performance Standards should be:

- **Specific**
- **Measurable**
- **Aligned**
- **Realistic**
- **Timeframe – bound**
- **Quality**



Specific

- Clear, concise statement of what is being measured.
- Observable outcome or achievement.

Standards should address:

- What the employee is responsible for accomplishing
- What will be achieved
- Expected result and outcome
- How this will drive organizational success



Measurable

- Result should be observable or verifiable.
- Should include a method, procedure or standard to assess and record the result of the requirement.

Standards should address:

- How we know the employee achieved the result at the “Achieved Expectations” level



Writing Measurable Results

Measures allow for meaningful distinctions in performance.

- Yes or No responses to a Performance Standard may be an indication that the Standard will not make a meaningful distinction among employees.
- **Example:** A Performance Standard that states: “Write a DoD Instruction by January 2008” uses time as the measure. However, meeting or “beating” the clock may be insufficient to determine a level 3, 4 or 5 rating on the Performance Element.

Other indicators, such as a quality measure, can be used to help make meaningful distinctions in performance.



Aligned

- A clear, direct connection should exist between Standards and the DoD Organizational Priorities, Component Strategic Plans, and/or other organizational strategic goals.

Standards should:

- Support the DoD Organizational or Component goals.
- Address the impact to the organization if the Standard is not met.
- Identify the specific goal/priority the Performance Standard aligns with.



Realistic

- The outcome must be achievable with the resources and personnel available.
- The result should be within the employee's control and responsibility.

Standards should address:

- Whether additional resources need to be procured to meet this Standard.
- Whether this a realistic goal given the organization's mission.
- Whether the achievement of this goal is under the employee's control.



Time-Bound

- Timeframe needed to complete the Standard should be within the period of performance.

Standards should:

- Include realistic timeline for all variables identified at this time.
- Have time built in to resolve potential obstacles.
- Specify when the outcomes will be achieved.
- Represent an appropriate timeframe, breaking a project into milestones if necessary.



Quality

- Assesses how well the Standard was completed.

Standards should:

- Include how the appraiser will know how well the employee completed the work.
- Identify whether there is a governing body that can evaluate the quality of the employee's work.
- Identify whether there are functional experts that can attest to the quality of the employee's results.



Performance Plan Requirements

Performance Standards must meet six criteria to comply with Office of Personnel Management (OPM) and DoD specifications.

- Accountability
- Alignment
- Balanced measures
- Consultation
- Diversity
- Measurable Results



Accountability Criteria

Plan must address accountability for subordinate performance management.

- Required only for employees that supervise others.
- Included in the Leadership/Supervision Performance Element.
- Should include standards on:
 - Ensuring that subordinate performance plans are aligned to organizational goals.
 - Appraising subordinates against clear, measurable standards of performance.



Alignment Criteria

Performance Plan must link to organizational goals (e.g., Strategic Plans or other organizational planning or budget documents).

- Each Requirement must cite the actual document and/or specific goal (e.g., Goal 1.1 of CPP Strategic Plan).
- The referenced plan must be available, upon request, to submit to DoD as part of the evidence required for OPM certification.



Balanced Measures Criteria

Plan must include measures or indicators of the collection and use of employee and customer/stakeholder feedback.

- Must include the solicitation and use of feedback to achieve a performance result.
- Can be incorporated in any of the Performance Elements.



Consultation Criteria

Both the employee and their Rating Official must be involved in developing Performance Standards.

- Demonstrated by the signatures of the employee and the Rating Official in Part B-1 of the Executive Performance Appraisal Form.



Diversity Criteria

Plans must have a Performance Standard that holds executives accountable for achieving results in promoting diversity and furthering equal employment opportunity in the workplace.



Measuring Diversity Standards

Examples of measures that meet the diversity requirement:

- Increasing recruitment efforts targeting various minority groups.
- Participating on a committee that supports diversity.
- Speaking at an engagement for a diverse audience.
- Developing a Diversity Committee internal to DoD.
- Coaching or mentoring a high performing diverse employee into the Senior Leader pipeline.
- Developing a coaching or mentoring program for the organization.
- Speaking to the organization about the importance of diversity.



Measurable Results Criteria

Output or outcome should include observable and/or verifiable results in terms of quality, quantity, timeliness, and/or cost effectiveness.

A vertical strip of an American flag is visible on the left side of the slide, showing the stars and stripes.

Examples of Measurable Results

- Efficiency or accuracy rates
- Improvement from survey results
- Acceptance of articles by peer-reviewed journals
- Presidential Agenda metrics or other program metrics
- Attributes of quality, value, thoroughness, excellence of an effort, or result



United States of America

Questions?





Knowledge Check

1. Which is not a component of a Performance Plan?
 - a. Performance Elements
 - b. Performance Language
 - c. Performance Requirements/Standards
 - d. Performance Levels
2. T or F - The Contribution to Mission Accomplishment Performance Element must equal at least 70% of your plan.
3. T or F - There are 7 Performance Elements and 3 are required to be in the Performance Plan.



Knowledge Check Answers

1. Which is not a component of a Performance Plan?
 - a. Performance Elements
 - b. Performance Language
 - c. Performance Requirements/Standards
 - d. Performance Levels

2. T or F - The Contribution to Mission Accomplishment Performance Element must equal at least 70% of your plan.
The answer is 60%.

3. T or F - There are 7 Performance Elements and 3 are required to be in the Performance Plan.



United States of America

Exercise 1

Evaluating and Critiquing
Performance Standards





United States of America

Section 2

Writing Performance Standards





Writing Performance Standards

The goal is to write Performance Standards that are accurate and measurable.

Including:

- Activities vs. Accomplishments
- Identifying Measures
- Writing Standards in accordance with SMARTQ Framework



Collaboration

- Supervisors and employees should collaborate during the initial planning phase of developing the performance plan.
 - Identify documents employees need to prepare their Performance Plans.
 - Identify DoD and Component Organizational Priorities.
 - Discuss Performance Elements.
 - Supervisors should ensure employees understand the SES and SL/ST pay-for-performance systems.



Initial Planning Meeting Outcomes

- Review and select from the seven Performance Elements.
- Discuss Performance Standards and outcomes.
 - *Identify* major work that needs to be accomplished during the next performance cycle.
 - *Discuss* expectations of performance outcomes.
 - *Discuss* linkage of work outcomes to organizational goals.



Activities vs. Accomplishments

- Activities are the *actions* taken to produce results. For example:
 - Writing an article
 - Developing a training program
- Accomplishments are the *results* of the activities used to measure success. For example:
 - An article accepted for publication or presentation
 - A training program that yields more knowledgeable and skilled workers.
- Focus Performance Standards on accomplishments.



General Measures

- Determine which of the following general measures that should be used to measure the performance of an Element:
 - Quantity
 - Quality
 - Timeliness
 - Cost-Effectiveness



Quantity

- How much work the employee completed
- *Ask yourself:* Does the stakeholder/ customer care how many are produced?

Examples: Number of publications, number of speaking engagements, quotas, percent increase in positive outcomes, reduction in number of negative outcomes



Quality

- How well the employee performed the work or the effectiveness of the final product.
 - Accuracy
 - Appearance
 - Usefulness/functionality
 - Effectiveness
- *Ask yourself:* Does the stakeholder/customer care how well the work is done?

Examples: Error rates, customer satisfaction rates



Timeliness

- How quickly, when, or by what deadline an employee completed the work or produced the result.
- *Ask yourself:* Is it important to accomplish the element by a certain time or date?

Example: Develop guidelines by FY10, adjudicate grievance decisions within 10 days



Cost-Effectiveness

- How much savings or cost control
- *Ask yourself:* Is it important to accomplish the element within certain cost constraints?

Example: Reducing unit expenses, reducing waste



Specific Measures

- For each general measure identified, ask:
 - How can (quantity, quality, timeliness, or cost-effectiveness) be measured?
 - Is there a number or percent that could be tracked?
 - Who can judge that the element was done well?
 - What are the factors that person would look for?



Converting Measures to Standards

- Write Performance Standards for each Element that express specific measures.
- If a specific measure is numeric, the standard should include:
 - What should be tracked
 - The exact number or range of numbers that would meet “Achieved Expectations” level. (As well as the level below and above).



Converting Measures to Standards

- If the specific measure is not numeric, the standard should include:
 - The person or group of people that could judge performance.
 - The factors the judge would look for in performance of the element.
 - What the judge could observe and report on to verify the employee has reached the “Achieved Expectations” level. (As well as defining the level below and above).



Examples of SMART-Q Components

- Improve the delivery of HR policy advice and guidance to customers worldwide, including in deployed locations, by developing a variety of useful resources that are robust and easily accessible by Q2 as measured by supervisor, stakeholder, and customer feedback. (Strategic Goal 4.2) *Aligned, Realistic, Time-Bound, Quality*
- Ensure consistent and accurate legal opinions are provided within 30 days of the request, as needed by the client, or obtain appropriate extensions. (GC Strategic Goal 3.1, 3.2) *Measurable, Aligned, Realistic, Time-Bound*



Examples of SMART-Q Components

- Achieve FY09 close-out goal of greater than 97% obligation rate for all accounts and greater than 75% expenditure rate for all accounts. (Strategic goal 3.2) *Specific, Measurable, Aligned, Realistic, Time-Bound*
- Develop, design and lead the execution of one new research and development initiative that results in cost-effective and environmentally friendly solution to support initiatives. (ECP Process Objective 2) *Measurable, Aligned, Quality*



Examples of SMART-Q Components

- Within established deadlines, appropriately formulate, review, direct, and coordinate significant litigation matters. Work should be forward looking, reflecting thorough analysis and sound reasoning, in accordance with organization guidelines. (JAGC Strategic Goal 1, Objective 3, 4, 5) *Aligned, Realistic, Time-Bound, Quality*
- Develop by summer 2010, at least one subject-independent, “universal” biomathematical model (i.e., a model that is portable from individual to individual) to predict physiologic variables in soldier performance. (MRMC Strategic Goal #1) *Specific, Measurable, Aligned, Realistic, Time-Bound*



Retention Standards

- Determine the Standards, not only at the “Achieved Expectations” level, but also at the “Minimally Satisfactory” level.
- Work must be “Minimally Satisfactory” to retain the position.



Retention Standards

- Must allow for some error (i.e., the retention standard cannot be absolute).
 - For example “Communicates effectively” would not be appropriate since it seems as if employees are *always* required to communicate effectively with no margin of error.



Retention Standards

- Must inform the employee of the level of performance required to keep his or her job.
 - Avoid using negative language (e.g., fails to meet deadlines). Negative language actually describes “Unacceptable” performance, not “Minimally Satisfactory” performance.
 - Should express the level of work that needs to be done.
 - Incorrect example: The requirement “Completes fewer than 4 evaluations a year” allows the employee to do nothing (0) evaluations a year and still meet this standard.



United States of America

Questions?





Knowledge Check

1. Which is not described in SMART-Q Framework?
 - a. Specific
 - b. Measured
 - c. Allocated
 - d. Realistic
 - e. Timeframe
 - f. Quality

2. T or F - Performance Standards should be written to align with organizational goals

3. Performance Standards should be defined in a Performance Plan at what level?
 - a. Exceptional Results
 - b. Achieved Expectations
 - c. Exceeds Expectations



Knowledge Check Answers

1. Which is not described in SMART-Q Framework?
 - a. Specific
 - b. Measured
 - c. Allocated - The A in SMART-Q stands for Aligned
 - d. Realistic
 - e. Timeframe
 - f. Quality

2. T or F - Performance Standards should be written to align with organizational goals

3. Performance Standards should be defined in a Performance Plan at what level?
 - a. Exceptional Results
 - b. Achieved Expectations
 - c. Exceeds Expectations



United States of America

Exercise 2

Improving Performance Standards





United States of America

Exercise 3

Practice Writing Performance
Standards





United States of America

Section 3

Quality Check ♦ Summary





Quality Check

- Ask yourself:
 - Is the range of acceptable performance clear?
 - Are the performance expectations...
 - Quantifiable/measurable?
 - Realistic and practical?
 - Specific and detailed?
 - Tied to a timeline?
 - Describing the quality of work expected?
 - Aligned with organizational goals and priorities?



Quality Check

- Ask yourself:
 - Are the standards fair and written at an appropriate skill level?
 - Will employees understand what is required?
 - Is it possible for an employee's work to surpass the "Achieved Expectations" level?



Summary Point

- Remember, it is important to measure what is truly critical to the performance of the job – not just what is easiest to measure.
 - For example, requiring a certain number of speaking engagements is a measurable result. However, that measure may not be tapping into the most important aspect of speaking engagements – reaching the audience. Instead try using another measure that would be more appropriate, such as gathering reaction ratings from the audience.
- Use multiple measures, when possible.



Contact Information

Samantha Adrignola – samantha.adrignola@opm.gov

Felicia Harper – felicia.harper@opm.gov

Brandon Boyd – brandon.boyd@opm.gov