

Performance Appraisal Assessment Tool Scoring Sheet

This document explains what is required for an agency to score well on OPM's Performance Appraisal Assessment Tool (PAAT). The information presented here defines and describes the highest point score possible for each PAAT question. There are a total of 100 points possible. Because the characteristics of effective performance management programs identified in this tool are equally important, each characteristic has been weighted the same for scoring purposes so that Sections 6 through 15 are scored 10 points each.

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Questions and Scoring Instructions

Alignment

(10 points possible)

6a. Does the program description require employee performance plans align with organizational goals, such as the specific goals identified in the organization's annual performance plan?

(1 point possible)

- Give full credit if the program description clearly states employee performance plans must align with organizational goals.

6b. How many employees have performance plans that align with organizational goals? *(3 points possible)*

- Give full credit if the total number of employees with aligned plans represents 90% of the population covered by the program or more.

6bi. Describe how many plans were reviewed, how alignment was verified, if sampling was involved, etc. *(4 points possible)*

- Give full credit if the agency reviewed a representative sample of performance plans and followed the instructions for ensuring representation and coverage are addressed; if the review appeared to be thorough and accurate; and if the alignment of the plans meets OPM's definition of alignment as established in the instructions.

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6c. What were the results to the most recent Federal Human Capital Survey or Annual Employee Survey questions that address alignment? *(2 points possible)*

- Give full credit if survey results are included and results are generally favorable, with 50% or more of respondents Strongly Agreeing or Agreeing on all questions included in this section.

Results-Focused

(10 points possible)

7a. Does the program description require that each employee's performance plan include at least one critical element (performance expectation) that holds the employee accountable for achieving results (at the appropriate level of responsibility)? *(1 point possible)*

- Give full credit if the program description clearly states that employee performance plans must include at least one critical element that holds employees accountable for achieving results (or a very similar statement). Be sure to verify.

7b. How many employees have performance plans with critical elements that make it possible to hold them accountable for results? *(3 points possible)*

- Give full credit if the number of employees with results-focused plans represents 90% or more of the employees covered by this program.

7bi. Describe how many plans were reviewed, how results-oriented critical elements were identified, etc. (See instructions) *(4 points possible)*

- Give full credit if the agency reviewed a representative sample of performance plans and followed the instructions for ensuring representation and coverage are addressed; if the review appeared to be thorough and accurate; and if at least one critical element of the plans meets OPM's definition of results-focused as established in the instructions.

7c. What were the results to the most recent Federal Human Capital Survey or Annual Employee Survey questions that address results? *(2 points possible)*

- Give full credit if survey results are included and results are generally favorable, with 50% or more of respondents Strongly Agreeing or Agreeing on all questions included in this section.

Credible Measures

(10 points possible)

8a. Does the appraisal program require that elements and standards (performance expectations) include credible measures of performance that are observable, measurable, and/or demonstrable? *(1 point possible)*

- Give full credit if the program description states that employee performance plans must include credible measures of performance (or a very similar statement).

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8b. How many employees have performance plans that include credible measures of performance? *(1 point possible)*

- Give full credit if the number of employees' plans is 90% or more.

8bi. Describe how many plans were reviewed, how you determined that credible measures were present, the types of measures used, how competencies were identified and described if they are used, etc. *(1 point possible)*

- Give full credit if the agency reviewed a representative sample of performance plans and followed the instructions for ensuring representation and coverage are addressed; if the review appeared to be thorough and accurate; and if at least one critical element of the plans meets OPM's definition of credible measures as established in the instructions.

8bii. Provide examples of credible measures of performance used in employee performance plans. *(1 point possible)*

- Give full credit if the agency provides 2 or 3 examples that meet OPM's definition of credible measures of performance. The agency must either insert specific examples here or must identify specific locations of measures in the sample performance plans provided.

8c. Does the appraisal program require that performance plans for supervisors take into consideration employee and customer perspective? *(1 point possible)*

- Give full credit if the program description states that supervisory performance plans must include customer and employee perspectives.

8d. How many supervisors have performance plans that take into consideration employee and customer perspectives? *(1 point possible)*

- Give full credit if the number of supervisors is 90% or more.

8di. Describe how many plans were reviewed, how you determined employee and customer perspectives, the types of measures used, etc. (See instructions) *(1 point possible)*

- Give full credit if the agency reviewed a representative sample of performance plans and followed the instructions for ensuring representation and coverage are addressed; if the review appeared to be thorough and accurate; and if the perspectives in the plans, as described by the agency, meet OPM's definition of employee and customer perspectives as established in the instructions.

8dii. Provide examples of employee and customer perspectives that were incorporated in supervisory plans. *(1 point possible)*

- Give full credit if the agency provides examples that meet OPM's definition of employee and customer perspectives. The agency must either insert specific examples here or must identify specific locations of employee and customer perspectives in the sample performance plans provided.

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8e. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey (AES) question(s) that address customer perspective? *(2 points possible)*

- Give full credit if survey results are included and results are generally favorable, with 50% or more of respondents Strongly Agreeing or Agreeing on all questions included in this section.

Distinctions in levels of performance

(10 points possible)

9a. For the latest appraisal period, show the distribution of ratings. *(8 points possible)*

- Give full credit if the rating distribution uses all summary rating levels Fully Successful (i.e., level 3) and above, if the distribution appropriately reflects organizational performance, and if there is less than 5% employees not rated or there is an acceptable explanation for a large percentage of not rated. Note: Compare to organizational performance information provided in section 14 and 15e.

9c. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey (AES) question(s) that address levels of performance? *(2 points possible)*

- Give full credit if survey results are included and results are generally favorable, with 50% or more of respondents Strongly Agreeing or Agreeing on all questions included in this section.

Consequences

(10 points possible)

10a. Cash awards *(2 points possible)*

- Give full credit if cash awards were reported, if the average award for employees with level 5 ratings is higher than those with level 4 ratings (if available), and if the average award for employees with level 4 ratings is higher than the average award for employees with level 3 ratings.

10b. Time-off awards *(1 point possible)*

- Give full credit if time-off awards were reported, even if zero were given.

10c. Quality step increases (QSIs). *(1 point possible)*

- Give full credit if QSIs were reported, and if they were given to employees with the highest ratings allowed in the program.

10d. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey (AES) question(s) that address consequences of performance? *(2 points possible)*

- Give full credit if survey results are included and results are generally favorable, with 50% or more of respondents Strongly Agreeing or Agreeing on all questions included in 10d.

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10e. Addressing unacceptable performance. *(2 points possible)*

- Give full credit if the agency was able to report on all 5 of the items listed under this question.

10f. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey (AES) question(s) that address poor performance? *(2 points possible)*

- Give full credit if survey results are included and results are generally favorable, with 50% or more of respondents Strongly Agreeing or Agreeing on all questions included in 10f.

Employee Involvement

(10 points possible)

11a., 11ai, and 11aii. Was the appraisal program designed with input from employees and their representatives, if applicable? *(2 points possible)*

- Give full credit if the agency gave a complete explanation of the process for involving employees.

11b, 11bi, and 11bii. Does the appraisal program require employee involvement in the development of the employee's performance plan? *(2 points possible)*

- Give full credit if the program description clearly states that employees should be involved or encourages supervisors to involve employees in the development of performance plans, the agency described the process, and the process provides adequate involvement.

11c, 11ci, 11cii. Were employees actually involved in the development of their performance plans? *(4 points possible)*

- Give full credit if the agency has a complete explanation of a process that involves employees in the development of their elements and standards. Note: A good example of adequate involvement includes using employee focus groups to develop plans.

11d. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey (AES) question(s) that address employee involvement? *(2 points possible)*

- Give full credit if survey results are included and results are generally favorable, with 50% or more of respondents Strongly Agreeing or Agreeing on all questions included in this section.

Feedback

(10 points possible)

12a. Does the appraisal program require that employees receive a progress review on their performance (that is, feedback) at least once during the appraisal period? *(1 point possible)*

- Give full credit if the program description clearly states that employees must receive a progress review during the appraisal period.

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12b. Approximately how many employees received a progress review? *(3 points possible)*

- Give full credit if the number of employees is 90% or over. Note: It should be clear either in 12b or in 12c how the agency was able to report a number for this question.

12c. How do you track whether employees receive a progress review? *(4 points possible)*

- Give full credit if the agency has a systematic process or tracking system for employee progress reviews that provides data during the appraisal cycle on whether and when progress reviews were completed.

12d. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey (AES) question(s) that address employee involvement? *(2 points possible)*

- Give full credit if survey results are included and results are generally favorable, with 50% or more of respondents Strongly Agreeing or Agreeing on all questions included in this section.

Training

(10 points possible)

13a. Does the appraisal program description require that supervisors receive training and retraining on the requirements and operation of the performance appraisal program? *(1 point possible)*

- Give full credit if the program clearly requires supervisors receive training on performance management.

13b and bi. Has the agency conducted training for at least 50 percent of its supervisors on the performance appraisal program sometime during the last 2 years? *(1 point possible)*

- Give full credit if training has been offered and at least 50% of supervisors have attended some kind of training on the performance appraisal program in the last 2 years and a description of the training was provided.

13c. Does the appraisal program description require that employees receive training and retraining on the requirements and operation of the performance appraisal program? *(1 point possible)*

- Give full credit if the program requires employees receive training or formal instruction on the performance appraisal program. If the program has been in place for years, see if the program requires performance appraisal briefings for new employees.

13d. Has the agency conducted training for at least 50 percent of employees on the performance appraisal program sometime during the last 2 years? *(1 point possible)*

- Give full credit if the agency has provided training or instructions to at least 50% of employees during the last 2 years, or, in the case of a long-established program, has provided formal instruction to new employees.

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13di. If yes, describe the training. *(1 point possible)*

- Give full credit if the agency describes an established process for training or instructing employees about the appraisal program.

13e. When a supervisor performs poorly on the required supervisory element (see 15a), what action has the agency taken to improve the supervisor's performance management competencies (that is, interpersonal communication, leading people, setting goals, performance measurement, business acumen, appraising performance, recognition)? *(1 point possible)*

- Give full credit if the agency has a process for assessing, addressing and rectifying poor supervisory performance. Note: OPM is looking for something more aggressive than just the regular Performance Improvement Period (PIP) process used for all employees.

13f. Describe the agency's competency development activities for supervisors. *(2 points possible)*

- Give full credit if the agency has identified a core set of supervisory competencies and uses those competencies for developing supervisors; and it appears that the agency has a training program that consistently addresses performance management topics, such as giving feedback, developing performance plans, and conducting appraisal interviews.

13g. What were the results to the supervisors and managers responses to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey (AES) question(s) that address training and competency development? *(2 points possible)*

- Give full credit if survey results are included and results are generally favorable, with 50% or more of respondents Strongly Agreeing or Agreeing on all questions included in this section.

Organizational Assessment and Guidance

(10 points possible)

14a. Does the agency assesses organizational unit performance? *(1 points possible)*

- Give full credit if the agency answered "Yes" and you can verify it occurs by looking at the response to 14ai.

14ai. Explain how unit performance is assessed. *(2 points possible)*

- Give full credit if the agency has a systematic process for assessing organizational performance, which could include developing a component score sheet or a scorecard that summarizes organizational performance as reported in the PAR (and any other assessment data the agency has); and elaborates on the PAR information with additional data review or a method of communicating the assessment in a report of some kind, or something similar.

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14a. Explain how organizational unit performance was communicated throughout the organization. (2 point possible)

- Give full credit if the agency has a systematic process for communicating organizational performance to employees, which could include emails from the agency head, town hall meetings, newsletters, or some kind of communication from someone higher than the first-line supervisor, or something similar. Simply posting a report on the agency web page is not adequate.

14b. Did an agency official provide guidance to rating officials about how unit performance should be considered when deciding ratings and awards? (1 points possible)

- Give full credit if the answer is “Yes” and a description of the guidance or a copy of the guidance was provided.

14bi. Describe the guidance or provide a copy. (2 point possible)

- Give full credit if the guidance was formally issued to rating officials regarding organizational performance and how that performance should be considered when deciding ratings and awards; and if the guidance provided clear instruction.

14c. What were the results to the most recent Federal Human Capital Survey (FHCS) or Annual Employee Survey (AES) question(s) that address organizational assessment? (2 points possible)

- Give full credit if survey results are included and results are generally favorable, with 50% or more of respondents Strongly Agreeing or Agreeing on all questions included in this section.

Oversight and Accountability

(10 points possible)

15a and ai. Do the performance plans of supervisors include a critical element (performance expectation) that holds the supervisors accountable for the performance management of subordinates? (2 points possible)

- Give full credit if the appraisal program clearly states that supervisors are to be held accountable for the performance management of subordinates (that includes alignment of subordinate performance plans and rigorous appraisal of subordinates); the program includes a specific standard to be used in all supervisory plans or includes instruction for what should be included in the element and standard; and all supervisory plans include that element. Note: The end result is that all supervisors are held accountable, through their elements and standards, for the performance management of subordinates.)

15b, bi, and bii. Was the program approved by the agency head or designee before it was implemented? (2 points possible)

- Give full credit if the answer is “Yes” to 15b, if the agency provides the title of the approver when the approver is not the head of the agency, and the agency describes a credible process for approving the implementation of the program. Note: The end result is that the agency has

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a system for approving appraisal programs operating within the agency and that someone at a high level ensures that the programs meet regulatory requirements.

15c and ci. Is there a high-level agency official who has oversight of the results of appraisals and awards under this program? *(2 points possible)*

- Give full credit if the answer is “Yes”, and if the title of the official is provided, and if the official’s position seems appropriate for the oversight role.

15d, di, and dii. Has this program been evaluated by the agency within the last 3 years to determine compliance and effectiveness? *(2 points possible overall)*

- Give full credit if the agency answered “Yes”, if the evaluation was done within the last 3 years, and if the agency is able to provide a copy of the evaluation report or is able to give a summary of the evaluation results. A previous PAAT can be given credit as a program evaluation.

15e and ei. Does the rating distribution of employees reflect organizational unit performance, that is, is there a relationship between the ratings of employees and the performance of the unit? *(2 points possible)*

- Give full credit if the answer is “Yes” and the agency describes how it assessed performance and explains how the rating distribution reported in 9a reflects organizational performance. Note: for example, did the agency use the percentage of PAR goals achieved and compare that to the rating distribution?

Rating *We can score the program at this level when each section scores at least 2 points. If a section scores 0 points, the program does not adequately meet requirements.*

Determination	Point Total
Effectiveness Characteristics Present	85-100
Effectiveness Characteristics Present but Not as Strong as Could Be	70-84
Characteristics Adequately Present But Many Weaknesses Identified	50-69
Characteristics Not Adequately Present	0-49