

Summary of Comments on
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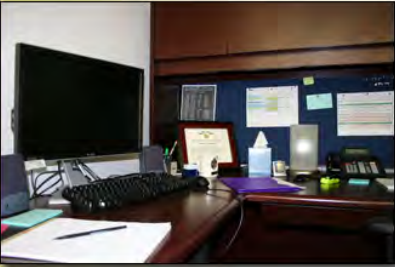


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Module 2: Performance Management

Lesson 2: Performance Management



Lesson Welcome

Welcome to the lesson on performance management. This lesson is designed to introduce you to or remind you of a performance management process that, when followed, will assist you with involving your employees, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of agency mission and goals.

Lesson Learning Outcomes

After completing this lesson, you will be able to:

- Describe the supervisor's role in working with employees through the Performance Management Process

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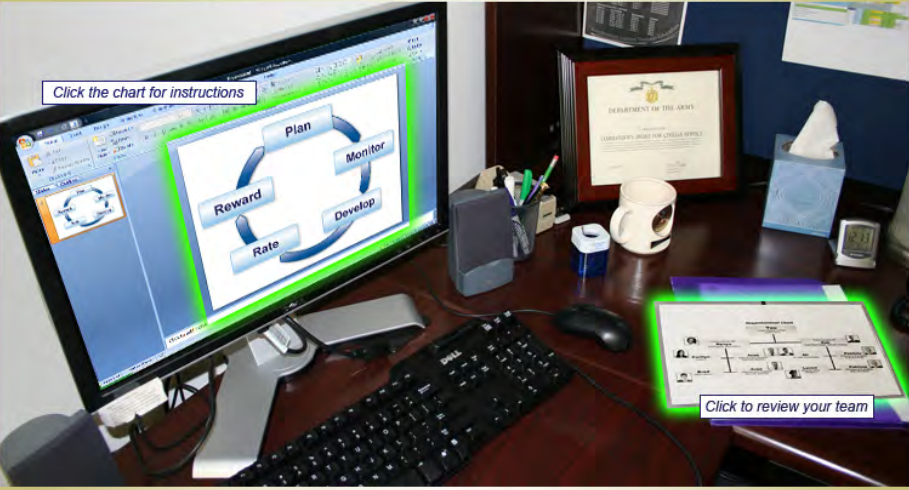
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Supervisor Scenario



Click the chart for instructions

Click to review your team

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Taking the Performance Management Lesson

You start reviewing the performance management presentation, while making a mental note that you will assess how well you have been applying each step of the process (planning, monitoring, developing, rating, and rewarding) and that you will notate areas that need improvement.



As you go through the course, write down ways that you can improve how you apply each phase of the performance management process. Remember that you have to submit a detailed action plan in two weeks! Let's begin the lesson content.

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The Performance Management Process

Just as important as managing financial resources and program outcomes is managing employee performance, because performance, or lack thereof, can have a profound effect on both the financial and program components of any organization. This lesson will introduce the performance management process as a tool to assist supervisors in leading their employees to successful growth in their organization and maximizing their productivity. The steps in the process will emphasize effective communication, organization, guidance, and development. Successful implementation of this process will not only have a positive impact on your organizations ability to carry out its intended mission, but also on the overall climate and culture.

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Our boss just texted me a happy face. What was that for?

You just got your annual performance review.

Comedy or Reality?

This is meant to be humorous of course, but in the digital age we live in this has probably happened to some of you.

Before we continue with this lesson, think of your most recent performance appraisal and assess whether you felt it was part of a process or just a single event. If you feel it was part of a process, what made it part of the process? If you feel it was just a single event, what made it that way?

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What is Performance Management?

Over the years, the role of a supervisor has changed significantly from being a top down, autocratic order-giver to a team leader, coach and motivator. As a supervisor, you are in a position of leadership that allows you to assist and develop your employees giving them the tools and ability to successfully fulfill their role within the organization.

The objective of performance management in accordance with Department of Defense (DoD) policy is to improve individual, team, and organizational performance by setting clear and concise employee expectations; monitoring progress; aligning measurable individual goals with larger organizational goals; and recognizing and rewarding individual accomplishments, demonstrated competencies, and contributions to mission.

"The conventional definition of management is getting work done through people, but real management is developing people through work."
~ Agha Hasan Abedi

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Why Performance Management?

Out of the 100 best companies to work for in America, 95% have a consistent, cyclical performance management process. From a leaders perspective this almost seems like striking a gold mine. Who wouldn't want to work at one of the best organizations, have your organization outperform other organizations, or have higher productivity from your employees? Outcomes like this not only demonstrate an effective performance management process but a strong business culture that leads to success.

- Helps organizations outperform other organizations
- Correlates with higher productivity
- Administers salary and wages
- Helps correct poor performance
- Plans for future (promotion, transfer, career development)
- Facilitates decision making (counseling, terminations)
- Facilitates Human Resource planning

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Author: AMSC Subject: Sticky Note Date: 9/20/2011 11:04:08 AM

An individual's work aligns with organizational goals and priorities. Employees must have a clear line of sight between what they do and how it supports the organization.

Employees receive performance objectives, goals, or standards, that describe what is expected of them at the fully successful level so they have an understanding of what is required to meet or exceed expectations.

Supervisors monitor performance throughout the year, and employees receive feedback about their performance.

Supervisors handle performance issues in a prompt and appropriate manner.

Employees have the opportunity to develop and enhance their skills and experiences.

Supervisors appropriately rate performance.

Monetary and non-monetary rewards are available for exceptional performance.

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Lesson 2: Performance Management

Performance Management Systems

Currently, there is no system that has been adopted by all government agencies for the management of civilian employee performance. Listed below are some of the common systems currently in place. Regardless of the different names and programs for performance management, each of them have common attributes that drive organizations forward, while preserving valuable resources and cultivating high-performing cultures.

Common Performance Management Names	Common Traits Among the Various Systems
<ul style="list-style-type: none"> • Total Army Performance Evaluations System (TAPES) • National Security Personnel System (NSPS) • Defense Civilian Intelligence Personnel System (DCIPS) • Nonappropriated Fund (NAF) 	<ul style="list-style-type: none"> • Job Alignment • Expectations • Feedback • Performance issues • Development of skills • Performance evaluation • Rewards

Mouse over the bullets in the blue column for more information.

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Performance Management Systems, Continued

After reviewing the traits of the various systems it might be easy to begin feeling overwhelmed with your responsibilities as a supervisor. Don't let this happen. Effective implementation of performance management requires the shared responsibility between supervisor and employee.

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The diagram shows a central oval labeled 'TAPES'. To its left, the words 'PERFORMANCE', 'PAY', and 'AWARDS SYSTEMS' are arranged vertically, each with a small icon (a person, a dollar sign, and a ribbon) and an arrow pointing towards the central oval. To the right of the oval, the text 'IMPROVED INDIVIDUAL & ORGANIZATIONAL EFFECTIVENESS' is written in a curved path.

Total Army Performance Evaluation System (TAPES)

Most supervisors in the Army will need to become familiar with the Total Army Performance Evaluation System (TAPES). Using this system allows supervisors to integrate performance, pay, and awards to improve individual and organizational effectiveness while creating a link between performance management and personnel decisions.

Total Army Performance Evaluation System is the systematic process of integrating performance, pay, and awards systems to improve individual and organizational effectiveness in the accomplishment of Army mission and goals.

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TAPES Overview

The TAPES system:

- Is the Army's system for planning and appraising performance
- Is designed to improve Total Army performance by:
 - Communicating organizational goals, priorities, and Army values
 - Establishing individual expectations for performance
 - Facilitating frequent discussion between Raters and Ratees
 - Requiring annual written performance evaluations
- Consists of two systems:
 - Base System: Applies to WG/GS-08 and below
 - Senior System: Applies to WG/GS-09 and above



NOTE: For specifics on timelines, forms, and the base and senior system refer to Army Regulation 690-400, chapter 4302.

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Time Consuming – Many supervisors argue that the Performance Management process takes too much time so they don't do it. It's true. The process is about managing people and doing this takes time but don't let this stop you from being engaged. As a supervisor it is vitally important to the process that you plan ahead. This plan does not need to be set in stone but should provide a general outline as to when each of the phases will take place for each employee. Leaders that do this have seen that time put in to the process generally saves time in the long run.

Afraid of Conflict - Meaningful confrontation is never easy but conflict is sometimes necessary for the development of your employees. Rather than addressing the issue head on supervisors will sometimes sugarcoat the issue in an attempt to spare feelings. This does no one in the organization any good. Issues not addressed early rarely resolve themselves. Instead they generally get worse and become an even greater demand on your time and energy. Here are a few thoughts to consider when dealing with conflict:


Conflict is not about punishment it's about learning and development. Both supervisor and employee need to understand this.

Don't see discipline as something done TO an employee, rather see it as something done WITH an employee.

Take the progressive approach....start with the least possible use of power and disciplinary action, and over time, use stronger actions if the situation continues.

Low Priority Compared to Operational Issues – Supervisors have the task of balancing operational responsibilities with managing personnel development. Consequently, managing personnel development sometimes takes a "background" role. However, as supervisors take part in the performance management process, they begin to see that efficiency and results improve allowing them to better balance the many roles and responsibilities they have.

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What Hinders the Process?

Despite the many benefits that come from using the performance management process, there are still issues that come up stopping us from using it to its fullest potential. Being aware of these issues is helpful in preparing ahead of time to avoid them or to deal with them when they appear. The following are a few common issues:

- The process is time consuming
- Some people are afraid of conflict
- It is sometimes viewed as low priority compared to operational issue

Click each bullet for more information.



NOTE: It is important to remember that as a supervisor, you do not have the sole responsibility of managing performance. Both you and the employee have a role to play throughout the process.


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Supervisor's Role

Employee's Role

Working Together to Achieve Success

One of the intended outcomes of the Performance Management Process is that it allows both supervisor and employee the opportunity to interact and communicate in ways that make the entire process a team effort. This means that the supervisor and the employee have a shared responsibility from beginning to end. However, as a leader, it is important to demonstrate your interest in taking an active role in the employee's work and development.

Click each of the roles for more information.

JOB AID

Click here for an example of responsibilities of employees and supervisors regarding performance management.

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Working Together to Achieve Success

One of the intended outcomes of the Performance Management Process is that it allows both supervisor and employee the opportunity to interact and communicate in ways that make the entire process a team effort. This means that the supervisor and the employee are beginning to share the role in the process.



Supervisor Role

Click here for an example of responsibilities of employees and supervisors regarding performance management.

Supervisors are expected to lead the performance management process through:

- Establishing clear performance expectations
- Developing and executing productive IDP's
- Giving periodic feedback, coaching, and counseling
- Addressing poor performance as soon as it is identified
- Realistically and fairly evaluating and rewarding performance

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The screenshot shows a presentation slide titled "Module 2: Performance Management" and "Lesson 2: Performance Management". The slide content includes the heading "Working Together to Achieve Success" and a paragraph stating, "One of the intended outcomes of the Performance Management Process is that it allows both supervisor and employee to process a plan and the beginning to the role in the". A pop-up box titled "Employees have the following opportunities to actively engage in the performance management process by:" lists six bullet points: seeking clarification of expectations, establishing IDPs, taking advantage of learning opportunities, participating in monitoring activities, documenting results, seeking assistance, and providing performance information. To the left of the pop-up is a "Supervisor Role" graphic. Below the pop-up is a "JOB AID" icon and a link to an example of responsibilities. The footer contains navigation instructions, a page number "13 of 83", and a control bar with icons for TDC, list, help, FAQ, and a printer, along with "Previous" and "Next" buttons.

Module 2: Performance Management Lesson 2: Performance Management

Working Together to Achieve Success

One of the intended outcomes of the Performance Management Process is that it allows both supervisor and employee to process a plan and the beginning to the role in the

Employees have the following opportunities to actively engage in the performance management process by:

- Seeking clarification of expectations about their performance
- Establishing Individual Development Plans (IDPs)
- Taking advantage of learning and developmental opportunities that support work responsibilities and enhance career progression
- Participating in performance monitoring activities
- Documenting results
- Seeking assistance if there is a problem with achieving expectations
- Providing information regarding their performance

Supervisor Role

Click here for an example of responsibilities of employees and supervisors regarding performance management.

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Communication is Key

Sam Walton, the founder of Walmart, stressed the importance of good interactions when he said, "The key to success is to get out into the store and listen to what the associates have to say. It's terribly important for everyone to get involved. Our best ideas come from clerks and stock boys." When communication breaks down, and the intended message is not what was received, it can become costly in terms of wasted time, productivity, and even morale. This can be particularly challenging for supervisors who must routinely communicate with their employees on issues of performance and conduct.



NOTE: For more information about the necessity of communication throughout the Performance Management Process, look in the Reference Tool under this lesson category.

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graph TD; Plan --> Monitor; Monitor --> Develop; Develop --> Rate; Rate --> Reward; Reward --> Plan;
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Performance Management Process

Each step in the Performance Management Process is just as important as the next. They all rely on one another to meet the desired outcome. One of the problems that arises from working through a process is dealing with each of the steps as independent events. When this happens the focus tends to be only on the beginning and the end without much attention given to the steps in between. The end result of this is usually not the same as the desired result.

Click each phase for more information.

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Performance Management Process

Each step in the Performance Management Process is just as important as the next. They all rely on one another to meet the desired outcome. One of the problems that arises from working through a process is

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Performance Management Process: Plan

At the beginning of the performance period, you and your employee develop a plan for performance, to include: performance goals and objectives, expected behaviors, individual development plan (IDP) goals, and a plan for documenting and discussing performance throughout the year.

Click each phase for more information.

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Performance Management Process

Each step in the Performance Management Process is just as important as the next. They all rely on one another to meet the desired outcome. One of the problems that arises from working through a process is

Plan

Reward

Rat

Performance Management Process: Monitor

Throughout the performance period, you should be aware of and monitor your employees' performance, noting opportunities to provide constructive feedback. Be sure to keep clear, specific documentation of your employees' performance for use in feedback sessions, formal performance conversations, and the final evaluation.

Click each phase for more information.

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Performance Management Process

Each step in the Performance Management Process is just as important as the next. They all rely on one another to meet the desired outcome. One of the problems that arises from working through a process is

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Performance Management Process: Develop

Throughout the performance period, you support your employees in meeting performance objectives and reaching development goals through coaching, mentoring, and offering developmental opportunities.

Click each phase for more information.

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Performance Management Process

Each step in the Performance Management Process is just as important as the next. They all rely on one another to meet the desired outcome. One of the problems that arises from working through a process is

Plan

Reward

Rate

Performance Management Process: Rate

At the end of the performance period, you compile the performance documentation to write the employee's evaluation and discuss the year's performance with the employee.

Click each phase for more information.

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Plan

Reward

Rat

Performance Management Process

Each step in the Performance Management Process is just as important as the next. They all rely on one another to meet the desired outcome. One of the problems that arises from working through a process is

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Performance Management Process: Reward

At the end of the performance period (or within the period), you reward employee performance according to your organization's performance management system. Use the reward to recognize past performance and encourage future performance.

Click each phase for more information.

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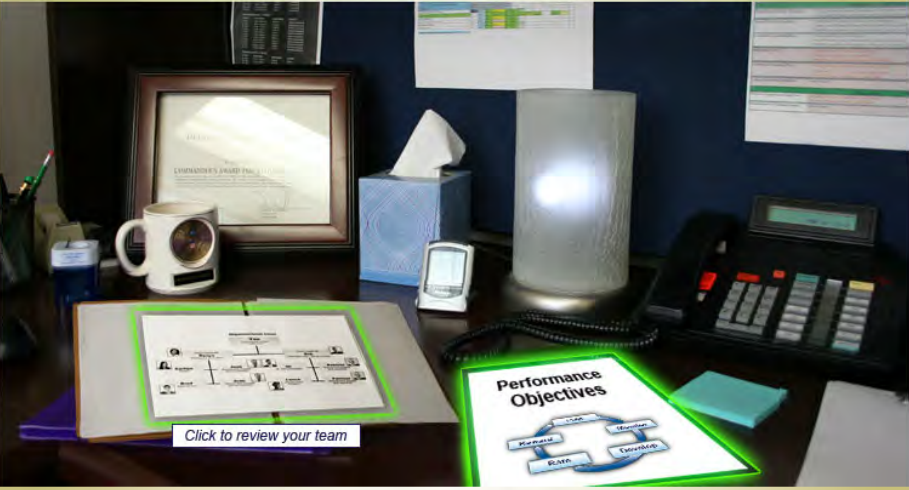
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Supervisor Scenario -- Plan



Click to review your team

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Supervisor Scenario



You hand Bob the performance objectives you've been working on so that he can look them over and give you some feedback. He reads them over and questions the use of the same objectives for everyone. As a supervisor what should your response be?



 Click image to see your options.

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Scenario Response Options

The following are three options for how you, as a supervisor, could proceed.

Notwithstanding Bob's concern, you stand your ground and use a standardized set of performance objectives for each employee.

You realize each employee has different responsibilities and therefore each employee needs a separate set of objectives. However, because this will take more time to complete, you cannot meet the 30 day deadline. You create the objectives 25 days later and ask the employees to back date the initial agreement to the performance objectives.

You decide to revisit your original decision and instead send out an email to all saying you want to meet with each employee individually to establish their individual performance objectives and plan.

 Read the options carefully and think about the one that seems to be the best choice. Write your selection down on paper. Later we will review all three options and why each may or may not be the best choice. For now let's look at the lesson content

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Planning for Performance

Planning for performance is the starting point for effective performance management. In most organizations, performance planning is mandatory. Typically within 30 days of the start of an appraisal cycle or upon joining an organization, employees must have written and approved performance plans that identify expectations and criteria for performance.

As we look closer at the planning phase of the performance management cycle we will address the challenges of planning, the benefits of planning, establishing a performance plan, and the outcomes.

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Employee Participation - Employees should participate with their supervisors in the creation of their own performance goals and development plans. Mutual agreement is a key to success. A plan wherein the employee feels some degree of ownership is more likely to be accepted than one that is imposed. This does not mean that employees do not desire guidance from their supervisor; indeed they very much do.

Wrong Emphasis - Spending more time on performance appraisal than performance PLANNING, or ongoing performance communication - Performance appraisal is the end of a process that goes on all the time - a process that is based on good communication between manager and employee. So, more time should be spent preventing performance problems than evaluating at the end of the year. When supervisors do good things during the year, the appraisal is easy to do and comfortable, because there won't be any surprises.

Not following up as planned - Often times, supervisors and managers tell employees that they will meet again to discuss the employee's career development and future with the company. Unfortunately, this time rarely happens. As a result, the goals and objectives just set lose their importance and the supervisor loses credibility with the employee.

Failure to link a development strategy to performance planning - Too often, supervisors provide training as a response to inadequate performance. However, developing employees is more than just training employees. Developing employees covers all efforts to foster learning, which happens on the job every day. This should be developed at the beginning of the rating cycle and put into the employees performance plan.

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Planning Issues for Consideration

As a supervisor, not only is it important to take the time to make a performance plan but you must also take into consideration issues that might hinder the effectiveness of the planning process:

- Employee Participation
- Wrong Emphasis
- No follow up
- No plan for development

Mouse over the bullets for more information.

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
The Benefits of Planning


Research shows that engaged employees contribute substantially more to the success of the organization than employees who are disengaged. Establishing a performance plan also provides the following benefits:

- Contributes to the success of the organization
- Helps employees understand the importance of their job to the broader organizational objectives
- Builds the partnership between the supervisor & the employee
- Sets the stage for success...
 - Identifies what the employee must do to be successful, including development activities
 - Identifies what supervisor must do to help employee be successful
- Simplifies performance evaluation

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Objectives

Standards

Development

Document



Your Performance Contract

Think of your performance plan as a contract between you, your supervisor, and your organization. The contract:

- Specifies work to be done (objectives)
- Specifies conditions for success (standards)
- Identifies training for development
- Commits all parties on signature (document)

So, if it is mandatory that a supervisor create a Performance Plan with each of their employees that include objectives, standards, and development opportunities, how do you get started?

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Review strategic goals

Review the Command and organizational strategic goals and plans. Senior leaders of an organization develop goals and plans that not only tie into the higher headquarters mission but to the mission of DoD as well.

Gather and review SOPs

Gather and review standard operating procedures (SOPs), guidance, and directives which may provide information on quantity, quality, or timeframe measures that employees need to achieve. Useful information may also be found from current position descriptions as well as previous performance plans.

Categorize employee's work

While developing performance objectives, it is also helpful to group the work of the employee into large categories or functions. Ask yourself the following questions to get an idea of what the performance objectives should focus on:

What are my key job responsibilities and why are they important to the organization?

If I were not here, what would not get done?

On what do I spend the majority of my time working?

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Developing Performance Objectives

Performance objectives are developed jointly by the supervisor and the employee and may be initiated by either party. However, as the supervisor leads the way in initiating this step, it demonstrates that performance plans are a priority and that the organization values high performance and employee development. It is also important that both supervisor and employee are aware of ways to tie an individual's objectives to those of the organization. Consider the following before developing performance objectives:

- Review strategic goals
- Gather and review SOPs
- Categorize employee's work

Mouse over the bullets for more information.

Accomplishments

Goals

DoD Mission

Component Mission

Organizational Goals and Priorities

Individual Performance Goal

Cascading Objectives

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Identifying Critical Elements

When grouping the work of the employee into large categories or functions it is important that you identify the tasks or outcomes that would be considered critical and those considered non-critical. A critical element is considered an assignment or responsibility of such importance that unacceptable performance in that element would result in a determination that the employee's overall performance is unacceptable. A non-critical element would then be all other assignment or responsibilities that while still important to the employee's performance would not result in an overall unacceptable if not performed well.



NOTE: Under the TAPES system, all tasks or objectives are considered critical. This system does not require you to document tasks or objectives that are considered non-critical.

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Lesson 2: Performance Management

Lead By Example

Mentor

Teamwork

Win

Motivate

Inspire

Coach

Vision

Writing Objectives

Performance objectives describe what an employee is accountable for achieving and hopefully exceeding.
Performance objectives:

- Should be written in the SMART format
- Should focus on results
- Should link to organizational mission and goals
- Can be accomplished within the rating cycle
- May be modified at any time
- Reflect your primary responsibilities
- Describe achievement at the fully successful level

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 Click each letter for details.

SMART Objectives

Employees and their supervisors should rely on the SMART framework to help them write clear, concise, measurable statements that describe the specifics of what the employee plans to accomplish. SMART objectives are:

- Specific
- Measurable
- Achievable
- Relevant
- Time-bound





NOTE: Working with each employee to write SMART objectives can help you, the supervisor avoid some of the common mistakes with written objectives.


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SMART

SMART Objectives

Employees and their supervisors should rely on the SMART framework to help them write clear, concise, measurable statements that describe the specifics of what the employee plans to accomplish. SMART objectives are:

Specific - Clearly state the expected accomplishment that can be observed. To be specific, an objective must define an observable action, behavior, or achievement; link to a level of performance, frequency, percentage, or other number. Specific is related to the result, not the activities to achieve that result.

NOTE: Working with each employee to write SMART objectives can help you, the supervisor avoid some of the common mistakes with written objectives.

Click the Next button to continue, or the Previous button to review.

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This page contains no comments

The screenshot shows a training interface for 'Module 2: Performance Management' and 'Lesson 2: Performance Management'. The main topic is 'SMART Objectives'. A large text box defines the 'Measurable (or observable or verifiable)' criterion, stating that it involves setting criteria for tracking accomplishments and defining quantity, quality, resources, and time. It also notes that employees should avoid setting expectations so high that they cannot be exceeded. A smaller text box below it advises supervisors to avoid common mistakes with written objectives. The interface includes navigation buttons like 'Previous' and 'Next', and a footer indicating '24 of 83' slides.

Module 2: Performance Management Lesson 2: Performance Management

SMART Objectives

Employees and their supervisors should rely on the concise, specifics of SMART

Measurable (or observable or verifiable) - State the criteria for measuring accomplishments. Provide a method to allow tracking, recording, and validation of quality of a specific behavior, action, or outcome. Define quantity (how many), quality (how good), resources (how much), and time (how long, how often). When defining the measurability aspect of a performance objective, employees need to set it at a performance level that describes successful achievement or meeting expectations. Employees do not want to set the expectation of their result so high that they have no opportunity to exceed expectations.

When possible, employees should avoid absolute standards (e.g., work

you, the supervisor avoid some of the common mistakes with written objectives.

Click the Next button to continue, or the Previous button to review.

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The screenshot shows a training module titled "Module 2: Performance Management" and "Lesson 2: Performance Management". The main heading is "SMART Objectives". A large text box explains that employees should avoid absolute standards (e.g., "work must be completed within 7 days") and instead use relative standards (e.g., "complete the work within 5 to 7 days"). A callout box states: "you, the supervisor avoid some of the common mistakes with written objectives." The bottom of the slide includes navigation buttons: "Previous" and "Next", and a footer indicating "24 of 83".

Module 2: Performance Management Lesson 2: Performance Management

SMART Objectives

When possible, employees should avoid absolute standards (e.g., work must be completed within 7 days). Although there may be times when absolute standards are necessary (e.g., Accomplish safety checks of Blackhawk helicopters with 100% accuracy at all time), they make it difficult to assign any other performance rating than a Successful or an Unacceptable. If an employee includes in their performance objective that they will complete the work within 5 to 7 days, this allows supervisors to use 3 to 4 days as the standard for assigning an Excellent. But employees also do not want to set the expectation of their result so low that it is too easy to accomplish. The goal of performance objectives is to drive performance within an organization.

you, the supervisor avoid some of the common mistakes with written objectives.

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Module 2: Performance Management Lesson 2: Performance Management

SMART Objectives

Employees and their supervisors should rely on the SMART framework to help them write clear, concise, measurable statements that describe the specifics of what the employee plans to accomplish. SMART objectives are:

Achievable - Examines capacity and conditions required to accomplish an objective. An objective must be appropriate for the employee's experience, skill and work level.

NOTE: Working with each employee to write SMART objectives can help you, the supervisor avoid some of the common mistakes with written objectives.

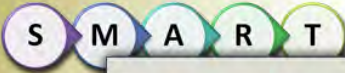
Click the Next button to continue, or the Previous button to review.

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SMART Objectives

Employees and their supervisors should rely on the SMART framework to help them write clear, concise, measurable statements that describe the specifics of what the employee plans to accomplish. SMART objectives are:

Relevant - Expected accomplishments should be commensurate with the major responsibilities of the employee.

NOTE: Working with each employee to write SMART objectives can help you, the supervisor avoid some of the common mistakes with written objectives.

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Module 2: Performance Management Lesson 2: Performance Management

SMART Objectives

Employees and their supervisors should rely on the SMART framework to help them write clear, concise, measurable statements that describe the specifics of what the employee plans to accomplish. SMART objectives are:

Time-bound - State the timeline for expected results. For long-term projects that require more than one rating cycle to accomplish, performance objectives should identify what results are expected within the rating cycle. The time component can be specific (by 1 July, end of 4th quarter), relative to another event (six months after...), or recurring (quarterly).

NOTE: Working with each employee to write SMART objectives can help you, the supervisor avoid some of the common mistakes with written objectives.

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Module 2: Performance Management

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Common Mistakes with Performance Objectives

Performance standards will form the basis of any Chapter 43 Performance Based Adverse Action so proper standards are necessary to have a sound case. The courts and Merit Systems Protection Board have identified several deficiencies which cause them to rule that performance standard falls short of the statutory requirement. Some common mistakes when establishing performance standards are:

- Standards that are low (easily attainable)
- Standards that are not reasonably attainable or objective
- Standards that are improperly absolute (cannot be exceeded or no room for error)
- Standards that do not permit an accurate measurement of an employee's level of performance
- Standards that do not clearly tell an employee what is required for success
- Standards that cannot be exceeded

Once proper objectives and standards have been written, you can focus on opportunities for development.

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Sample SMART Objectives

Take a moment to review these examples of written performance objectives.

Poor Objectives	SMART Objectives
Lower the cost of this years SMART conference.	Reduce the cost of the SMART conference by 20% by benefiting from process improvement and better procurement management.
Achieve efficiencies in the work unit to save time, money, or people.	By 30 September, 2011, develop and implement a process for work assignment in the unit to achieve a 50% reductions in overtime claims.
ITS supports professional development for staff.	ITS offers Project Management, CRM, and Intro to ITS classes quarterly with the goals of 80% of the divisional staff trained by June, 2008
Submit a budget for the new computer system implementation.	Submit a budget for the new computer system implementation process that accounts for all known requirements and costs by 31 March.

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Plan for Development

Career development is not optional! It is how you make sure employees have the knowledge and skills they need to meet expectations. In addition, and of critical importance, it is how you make sure they acquire the knowledge and skills needed to advance. Developmental goals are often included in the individual development plan (IDP) section of the performance plan.

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Individual Development Plan: Purpose

Individual development planning helps identify the employee's career development goals and the strategies for achieving them. Typically, the employee will complete an Individual Development Plan (IDP) on an annual basis. This plan is intended to:

- Encourage the employee to take ownership of his/her career development
- Provide an administrative mechanism for identifying and tracking development needs and plans
- Assist in planning for the agency's training and development requirements.

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Employee profile – name, position title, office, grade/pay band


Career goals – short-term and long-term goals with estimated and actual completion dates

Development objectives – linked to work unit mission/ goals/objectives and employee's development needs and objectives

Training and development opportunities – specific formal classroom training, workshops, rotational assignments, shadowing assignments, on-the-job training, self-study programs, professional conferences/seminars, etc., that employee will pursue with estimated and actual completion dates

Signatures – including supervisory and employee signatures and date


Module 2: Performance Management Lesson 2: Performance Management



Individual Development Plan: Key Elements

Within the Federal Government, there are no regulatory requirements mandating employees complete Individual Development Plans (IDPs). However, it is considered a good management practice, and many agencies have developed their own IDP planning process and forms. While there is no one "correct" form for recording an employee's development plan, an effective plan should include the following key elements:

- Employee Profile
- Career Goals
- Development Objectives
- Training and Development Opportunities
- Signatures

 **Mouse over the bullets for more information.**

Once objectives have been written and developmental goals established it is important that you take a moment and review the performance plan with the employee.

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Individual Development Plan: Common Mistakes

Common mistakes made when developing and IDP are:

- Wasn't a joint effort between supervisor and employee
- Building it but never using it
- Only including formal training

✦ Click the bullet points for more information.

Click the Next button to continue, or the Previous button to review.

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This page contains no comments

The screenshot shows a web-based training interface for 'Module 2: Performance Management' and 'Lesson 2: Performance Management'. A yellow warning dialog box is overlaid on the content. The background text discusses 'Individual Development Plan: Common Mistakes' and lists common mistakes made when developing an IDP. The dialog box highlights the mistake of not making it a joint effort between supervisor and employee. Navigation buttons for 'Previous' and 'Next' are at the bottom, along with a status bar showing '30 of 83'.

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Individual Development Plan: Common Mistakes

Common mistakes made when developing and IDP are:

Not a joint effort between supervisor and employee –

The employee and the supervisor prepare the groundwork for a realistic and worthwhile IDP by beginning with the fundamental planning and preparation. A good time to start the planning and preparation for the IDP process is while the employee is starting the new performance cycle. This allows you both to discuss where the employee has been (training and job experiences already completed), where they are now (skills and weaknesses with current job description), and where they can go (possible leadership training, short-term/long-term goals, interests). Doing this together can benefit the organization by aligning the employees training and development efforts with the mission, goals, and objectives of the agency.

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The screenshot shows a software interface for 'Module 2: Performance Management' and 'Lesson 2: Performance Management'. A yellow warning dialog box is open, titled 'Building it but never using it -'. The dialog text states: 'IDP's have a tendency to be like that to-do list that gets written but then seems to disappear. Just as important as developing the IDP is the frequent review and modification of the document. As the year moves along, it is important that supervisors and employees stay alert for changes in the work, resources, technology, or the work environment that would make it necessary to adjust the plans in the IDPs. Not only will this demonstrate your support for your employees but it will ensure that the training and other developmental experiences needed to achieve specific goals are accomplished, for the benefit of the individual and the organization, within a specified time frame.'

Background text visible through the dialog includes: 'Individual Development Plan: Common Mistakes', 'Common mistakes made when developing and IDP are:', and 'and employee'.

At the bottom of the interface, a footer reads: 'Click the Next button to continue, or the Previous button to review.' and '30 of 83'. Navigation buttons for 'Previous' and 'Next' are also present.

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The screenshot shows a web-based training interface for 'Module 2: Performance Management' and 'Lesson 2: Performance Management'. A yellow warning dialog box is open, titled 'Only including formal training –', which cautions against relying solely on formal classroom training and highlights the effectiveness of informal developmental strategies like special projects or assignments. The background content, titled 'Individual Development Plan: Common Mistakes', lists common errors in developing an IDP. The interface includes a navigation bar at the top, a sidebar with a circular flow diagram, and a footer with navigation buttons and a page count of 30 of 83.

Module 2: Performance Management Lesson 2: Performance Management

Individual Development Plan: Common Mistakes

Common mistakes made when developing and IDP are:

Only including formal training –

Formal classroom training and education definitely have their place in developing employees. However, it is important to realize the impact that informal developmental strategies can have as well. According to the DDI (Development Dimensions International): Leadership Forecast study, special projects or assignments are the second most common method for development with the most effectiveness. Not only can these strategies cost very little but they also provide an environment for the employee to receive hands on training in a variety of areas (work related, leadership, new skills, etc...)


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Their individual responsibilities and goals and how they relate to the goals of the organization
Expected completion dates for the specified objectives that were jointly created
What level of performance is expected by writing objectives at the "fully successful" level
Criteria to be used to review and evaluate performance – metrics/success indicators by having objectives written using the SMART formula
What developmental activities are available and expected to help them perform in their current roles and enhance their career opportunities
That supervisors are invested in and willing to assist the employee to be successful
How their individual job responsibilities and goals relate to the goals of the organization
Not written on the plan, but should be discussed in the meeting with the employee
When they will meet again to discuss progress


Module 2: Performance Management Lesson 2: Performance Management



At the End of the Planning Process the Employee Should Know...

At the end of the planning phase of the performance management process, the employee should know:

- Responsibilities and goals
- Expected completion dates
- Expected level of performance
- Criteria used to evaluate
- Available development activities
- That the supervisor is invested
- How their goals relate to the organization's goals
- When progress will be discussed

 **Mouse over the bullets for more information.**

While the employee knows and understands these things at the end of the planning phase, they will definitely forget them by the end of the process if not reinforced with the other steps. With that being said, the next step in the process is Monitoring.

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Supervisor Scenario Revisited

Now that you have a better understanding of the planning phase of performance management, let's revisit the earlier scenario where, after reviewing the performance objectives you created, Bob questioned commented on your use of the same objectives for everyone.

Look at your notes. Which supervisory option did you select as the best choice?

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The screenshot shows a presentation slide from a training module. At the top, there are two tabs: 'Module 2: Performance Management' and 'Lesson 2: Performance Management'. The slide title is 'Leadership Application -- Plan'. The main content area contains three text boxes with different backgrounds: a red box for a 'NOT A GOOD CHOICE' scenario, a yellow box for a 'NOT THE BEST CHOICE' scenario, and a green box for 'THE BEST CHOICE'. At the bottom, there is a navigation bar with icons for 'TDC', a list, a question mark, 'FAQ', a printer, and media controls (play, pause, stop, volume). There are also 'Previous' and 'Next' buttons. A footer note says 'Click the Next button to continue, or the Previous button to review.' and a page number '33 of 83' is displayed.

Module 2: Performance Management Lesson 2: Performance Management

Leadership Application -- Plan

NOT A GOOD CHOICE: While using a standardized set of objectives for each employee is expeditious, you really need to consider if in fact the objectives are SMART (Specific, Measurable, Attainable, Realistic, Timely) for each employee. Setting performance objectives should be a collaborative effort between the individual employee and supervisor. As a supervisor you are....

NOT THE BEST CHOICE: Putting off your responsibility as a supervisor to complete employee performance objectives is problematic on several fronts. First, the supervisor's action to back date the performance plan clearly violates policy and Army values and exposes the supervisor to possible disciplinary action. Second, you cannot hold people accountable for their performance if objectives....

THE BEST CHOICE: As the supervisor you need to establish different performance plans for employees that have different roles and responsibilities. It is best when the employee and supervisor jointly determine and agree on individual standards of performance. By participating, employees get a clearer understanding of what is required and their role in accomplishing the mission and goals of ...

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Supervisor Scenario

As you review Patricia's performance plan, you jot down notes about the things you need to address with her. What is your first step in helping Patricia get her performance up to standard?



Click image to see your options.

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Scenario Response Options

The following are three options for how you, as a supervisor, could proceed.

- Don't say anything to Patricia since she will be retiring soon. Continue to monitor her performance for the next few months and if the problem significantly worsens bring it up later.
- Send Patricia an official letter stating that you are placing her on a performance improvement plan due to her failure to meet the standards outlined in her performance plan.
- Request that Patricia meet with you to discuss your concerns with her. Ask her if there are any extenuating circumstances causing her to perform below standard. Offer your support and schedule a time to follow up.

 Read the options carefully and think about the one that seems to be the best choice. Write your selection down on paper. Later we will review all three options and why each may or may not be the best choice. For now let's look at the lesson content

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Monitoring Performance

In an effective organization, assignments and projects are monitored continually. This does not mean constant and vigilant checking of employees to see if they are doing their work. Rather, monitoring well means:

- Documenting performance
- **Communication**
 - Provide/receive feedback
 - Effective questioning
- Marginal performers
- Coaching for performance

Click the Next button to continue, or the Previous button to review.

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Lesson 2: Performance Management

1. Plan

2. Do

3. Check

4. Act

An image of an Army dog tag with the text "Army Values" and a list of values: Loyalty, Duty, Respect, Selfless-Service, Honor, Integrity, and Personal Courage. The tag is set against a background of the American flag.

The Importance of Monitoring

As a leader, the monitoring phase of the performance management process allows you to demonstrate some of the traits or values you would like to see in your employees. In fact, not only are the army values required to be discussed and integrated into the performance plan (TAPES System) but a great leader will also display these values in his/her interactions with their employees. This also ensures that expectations and performance stay on track.

- Employees want supervisors who are:
- Competent
- Forward-looking
- Honest
- Inspiring

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Waiting For The Performance Appraisal To Give Feedback – Ongoing feedback throughout the year, whether it be to identify work or behaviors that were done well or areas that need improvement, gives the employee the information they need to continue performing well or to make the necessary changes to improve. While formal progress reviews should be conducted twice a year (mid-year and end of year appraisal) waiting to deliver this information till then defeats the purpose of the performance improvement. Informal feedback should be regularly given leading up to the formal reviews so that the employee knows what to expect from these meetings.

Being Too Positive Or Negative - Some managers feel uncomfortable giving positive feedback and consequently, can omit to give employees the constructive criticism they need to improve. And then there are other managers who are instinctively too negative, leaving the employee wondering if they can do anything right! While, as a manager appraising someone's performance you should give your honest opinion, you also want your employee to understand and appreciate what you're saying. So instead of being too positive or negative -- which can result in the employee not believing what you say -- think about the impact on the employee you want, and communicate your feedback accordingly.

Talking Not Listening – While it is true that during the monitoring phase the supervisor is to provide the employee with valuable feedback on ways they can improve performance, it is also true that this is more effective when not done through one way communication. Just as important as giving feedback is listening to the employee and understanding their viewpoint. It is during two way conversations that supervisors find out ways they can help an employee improve performance like removing obstacles or providing training.

E-mail instead of face-to-face – In this age of electronic communication, far too many managers use email as a substitute for personal interaction. Would you try to establish important partnerships with other organizations via email? Would you fill a key position within your organization with a person you have not met? Of course you wouldn't. While e-mail is a powerful and convenient medium for communication, researchers have identified three major problems. **First** and foremost, e-mail lacks cues like facial expression and tone of voice. That makes it difficult for recipients to decode meaning well. **Second**, the prospect of instantaneous communication creates an urgency that pressures e-mailers to think and write quickly, which can lead to carelessness. **Finally**, the inability to develop personal rapport over e-mail makes relationships fragile in the face of

Module 2: Performance Management Lesson 2: Performance Management

Common Mistakes to Effective Monitoring

Some common mistakes supervisors make during the monitoring phase are:

- Feedback not timely or constructive
- Too positive or too negative
- Not listening
- Relying on e-mail to provide feedback

Click on the bullet points for more information.

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conflict.

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Common Mistakes to Effective Monitoring

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Click on the bullet points for more information.

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Module 2: Performance Management Lesson 2: Performance Management

1. Plan 2. Do 3. Check 4. Act



Keeping Lines of Communication Open

Ongoing formal and informal communication keeps employees focused and motivated on achieving their performance objectives.

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Module 2: Performance Management


Lesson 2: Performance Management



Giving Feedback

You can provide meaningful performance feedback by detailing what behaviors should be repeated and by addressing specific areas for improvement. Using vague phrases like, "Good job", "Superb", "You should work harder", and "The document is subpar" might leave the person receiving the feedback uncertain about successes or improvement areas. To give that feedback it is critical for performance discussions to be ongoing.

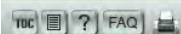
Poor Feedback	Good Feedback
<ol style="list-style-type: none">1. "Good job"2. "The document is subpar"	<ol style="list-style-type: none">1. "I really liked how you did...."2. "This document is missing"

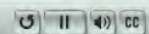
**JOB AID**

[Click here for hints on providing feedback.](#)

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Top Ten Feedback Mistakes

Providing feedback is an essential part of performance management that can be instrumental in developing employees and their abilities to be top performers. However, it is important to keep in mind some common mistakes as making them can lessen the impact of your feedback.



1. The feedback judges individuals, not actions
2. The feedback is too vague
3. The feedback speaks for others
4. Negative feedback gets sandwiched between positive messages
5. The feedback is exaggerated with generalities
6. The feedback analyzes the motives behind the behavior
7. The feedback goes on too long
8. The feedback contains an implied threat
9. The feedback uses inappropriate humor
10. The feedback is a question, not a statement

Mouse over each statement for more information.

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The feedback judges individuals, not actions. The number one mistake people make in giving feedback is putting it in judgmental terms rather than descriptive terms. If you say to someone "you were too abrasive" or "you need to be a better team player," you put him or her on the defensive. Rather than leading to a useful conversation, the feedback attempt becomes a cycle of "attack" and "defend."

The feedback is too vague. The use of generalized, cliché catch phrases like "you are a good leader," "you did a great job on the presentation" or "you have a lot of common sense." The person hearing these words may be happy to get the compliment, but they won't have any idea of what exactly they did to earn your praise. If you want to encourage someone to repeat productive behavior, you have to let him know specifically what he did so he can keep doing it.

The feedback speaks for others. To say something like "Sheila said that you seem confused about your new assignment" or "People are telling me that they feel like you are micromanaging them" isn't effective feedback. Whenever possible, give feedback based on behaviors you have personally observed and can describe.


Negative feedback gets sandwiched between positive messages. It's tempting to tuck the negative comment

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Module 2: Performance Management Lesson 2: Performance Management

Top Ten Feedback Mistakes

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Mouse over each statement for more information.

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between two positive statements. Your intentions may be good, but it doesn't work. Both positive and negative feedback should stand on its own.

The feedback is exaggerated with generalities. Using language like "always" or "never" puts people on the defensive and causes them to discount the feedback altogether.

The feedback analyzes the motives behind the behavior. Telling someone that you know they are behaving a certain way because of an impending divorce, jealousy over a co-worker's advancement, or burnout is ineffective and is likely to cause resentment. Don't assume you understand someone's intention or motive.

The feedback goes on too long. Not knowing when to stop dilutes your message and can create more problems. Don't give advice, describe personal experiences or try to solve the other person's problems. People receiving feedback need time to absorb the information they have just received and consider what, if anything, they might do about it.

The feedback contains an implied threat. Telling someone her job is in jeopardy – "Do you want to be successful in this organization or not?" – doesn't reinforce good behavior or illustrate bad behavior. It only creates animosity.

The feedback uses inappropriate humor. Sarcasm and criticism couched as a joke are poor substitutes for feedback.

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Saying “good afternoon” to a colleague who is ten minutes late for a morning meeting or teasing about someone’s poor presentation skills in a meeting is ineffective and potentially destructive.

The feedback is a question, not a statement. Phrasing feedback as a question – “Do you think you can pay closer attention during our next meeting?” – is too indirect to be effective.


Module 2: Performance Management Lesson 2: Performance Management

Top Ten Feedback Mistakes

Providing feedback is an essential part of performance management that can be instrumental in developing employees and their abilities to be top performers. However, it is important to keep in mind some common mistakes as making them can lessen the impact of your feedback.



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 **Mouse over each statement for more information.**

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Module 2: Performance Management


Lesson 2: Performance Management

1. Listen

2. Understand

3. Respond

4. Evaluate



Active Listening

There are five key elements of active listening. They all help you ensure that you hear the other person, and that the other person knows you are hearing what they say. They are:

- Pay attention
- Show that you are listening
- Ask questions
- Defer judgment
- Respond appropriately

✦ Click on the bullet points for more information.

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Module 2: Performance Management Lesson 2: Performance Management

Active Listening

There are five key elements of active listening. They all help you ensure that you hear the other person, and that the other person knows you are hearing what they say. They are:

Pay attention - Give the speaker your undivided attention, and acknowledge the message. Recognize that non-verbal communication also "speaks" loudly.

- Look at the speaker directly
- Put aside distracting thoughts. Don't mentally prepare a rebuttal
- Avoid being distracted by environmental factors
- "Listen" to the speaker's body language
- Refrain from side conversations when listening in a group setting

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Module 2: Performance Management Lesson 2: Performance Management

Active Listening

There are five key elements of active listening. They all help you ensure that you hear the other person, and that the other person knows you are hearing what they say. They are:

Show that you are listening - Use your own body language and gestures to convey your attention.

- Nod occasionally
- Smile and use other facial expressions
- Note your posture and make sure it is open and inviting
- Encourage the speaker to continue with small verbal comments like yes, and uh huh

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Module 2: Performance Management Lesson 2: Performance Management

Active Listening

There are five key elements of active listening. They all involve listening. They all require you to reflect what is being said and ask questions.

Ask Questions - Our personal filters, assumptions, judgments, and beliefs can distort what we hear. As a listener, your role is to understand what is being said. This may require you to reflect what is being said and ask questions.

- Reflect what has been said by paraphrasing. "What I'm hearing is." and "Sounds like you are saying." are great ways to reflect back
- Ask questions to clarify certain points. "What do you mean when you say,..." "Is this what you mean?"
- Summarize the speaker's comments periodically

Tip: If you find yourself responding emotionally to what someone

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Module 2: Performance Management Lesson 2: Performance Management

Active Listening

There are five key elements of active listening. They all involve listening. They all involve listening. They all involve listening. They all involve listening. They all involve listening.

and "Sounds like you are saying." are great ways to reflect back

- Ask questions to clarify certain points. "What do you mean when you say...?" "Is this what you mean?"
- Summarize the speaker's comments periodically

Tip: If you find yourself responding emotionally to what someone said, say so, and ask for more information: "I may not be understanding you correctly, and I find myself taking what you said personally. What I thought you just said is XXX; is that what you meant?"

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Module 2: Performance Management Lesson 2: Performance Management

Active Listening

There are five key elements of active listening. They all help you ensure that you hear the other person, and that the other person knows you are hearing what they say. They are:

Defer judgment - Interrupting is a waste of time. It frustrates the speaker and limits full understanding of the message.

- Allow the speaker to finish
- Don't interrupt with counter arguments

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Module 2: Performance Management Lesson 2: Performance Management

Active Listening

There are five key elements of active listening. They all help you ensure that you hear the other person, and that the other person knows you are hearing what they say. They are:

Respond Appropriately - Active listening is a model for respect and understanding. You are gaining information and perspective. You add nothing by attacking the speaker or otherwise putting him or her down.

- Be candid, open, and honest in your response
- Assert your opinions respectfully
- Treat the other person as he or she would want to be treated

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Module 2: Performance Management

Lesson 2: Performance Management

1. Plan

2. Measure

3. Review

4. Improve



Documenting Employee Performance

Ongoing documentation needs to be done by both supervisor and employee. It is also important to remember that what you document should be directly tied to the performance objectives found in the performance plan.

JOB
AID

[Click here for documentation quick tips for supervisor and employee.](#)

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[Click here for documentation dos and don'ts.](#)

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What About Marginal Performers?

Federal agencies cannot afford employees who are performing their duties less than fully successfully. Government wide regulations recommend that agencies provide assistance whenever performance becomes marginally successful. However, unlike the regulations for dealing with employees who are Unacceptable, the regulations do not specify what should be done for marginal performers. Some agencies have formal processes that supervisors must follow for assisting marginal performers. Other agencies use an informal process.

"Federal agencies cannot afford employees who are performing their duties less than fully successfully."
-- OPM

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When employees' performance deteriorates, they often perform at the marginal level for a time before dropping to *Unacceptable*. Catching and addressing poor performance before it becomes *Unacceptable* is an easier and more effective way of dealing with performance problems. If supervisors talk with employees when performance first becomes marginal, the discussions may serve as a "wake-up call." When employees first slip into marginal performance, they are more likely to be open to discussing what needs to be done to improve performance. Supervisors can help employees improve without the negative consequences of threatening their jobs. Employees can concentrate on building necessary skills without worrying about possible unemployment at the end of the performance improvement period. By addressing performance problems, supervisors signal to all employees that the organization does not tolerate poor performance.

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Reasons to Address Marginal Performance

Good supervisors do not allow marginal performance to continue. Good supervisors:

- Stop marginal performance before it becomes poor performance
- Consider it a wake-up call
- Focus on performance improvement
- Know that poor performance cannot be tolerated

 *Mouse over each bullet for more information.*

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What Can a Supervisor Do?

Here are a few tips for assisting marginal performers. In addition to following these tips, supervisors should also remember to check with their Human Resources office to see if their agency has a formal process for addressing marginal performance. You should provide:

- Clear communication
- Frequent feedback
- Increased supervision
- Positive reinforcement
- Mentoring
- Training
- Checklists

Mouse over each bullet for more information.

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Clear communication. Supervisors must communicate clear performance standards and expectations. They should take time to look at the existing performance standards and make some changes if the standards don't really communicate their expectations. If employees don't understand what is expected, it is very hard — sometimes impossible — for them to meet those expectations.

Frequent feedback. Positive, constructive feedback from supervisors, given whenever needed, is crucial to ensuring that employees know what they've done right and what needs improvement. Feedback should be specific, meaningful, and timely.

Increased supervision. Marginal employees often require more direction. Supervisors should work more closely with them, while understanding that the goal is for employees to work competently and independently.

Positive reinforcement. Recognize good performance. Recognizing marginal employees when they do something correctly is another way of clarifying expectations and providing positive reinforcement. Recognizing good performance increases the likelihood that employees will repeat the performance.

Mentoring. Have an outstanding employee serve as a mentor for the marginal performer. In this way, supervisors provide a model of desired performance.

Training. In some situations, marginal employees need training because they lack the skills to perform at the *Fully Successful* level. Training can include formal classroom sessions, on-the-job training, and automated training aids.

Checklists. Often employees performing at the marginal level require extra

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assistance in setting priorities and remembering procedures. Checklists can sometimes help employees stay focused on a task and organize their work.

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What Can a Supervisor Do?

Here are a few tips for assisting marginal performers. In addition to following these tips, supervisors should also remember to check with their Human Resources office to see if their agency has a formal process for addressing marginal performance. You should provide:

- Clear communication
- Frequent feedback
- Increased supervision
- Positive reinforcement
- Mentoring
- Training
- Checklists

 *Mouse over each bullet for more information.*

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Bullet One:

Coaching can happen spontaneously or in a formal meeting. It is a challenging skill for many supervisors. Rather than providing advice or prescribing a solution, coaching sets the stage for the employee to come up with a resolution. You can coach employees through effective questioning, empowering them to proactively and consciously manage their own performance.

Bullet Two:

As a coach, you can help the employee identify and address obstacles that interfere with the employee's ability to accomplish a goal, such as:

External obstacles, including: busy schedule, limited resources, interactions with others, or incomplete information.

Internal obstacles, including: fear of failure, self-doubt, inability or unwillingness to change, inability to visualize success, unwillingness to make a decision, poor time management, or misunderstanding of expectations.

Bullet Three:

Coaching means fostering an employee's awareness, responsibility, and ownership of ideas, actions, and goals, which are crucial elements of good performance.

Bullet Four:

Successfully conducting regular coaching sessions takes patience and practice but is well worth the effort. You will be pleasantly surprised with how well your employees respond to and appreciate your commitment to their success. Giving continuous feedback demonstrates your dedication to building a positive and trusting relationship with employees and assists them with improving performance. It also helps you improve your performance as a supervisor.

Module 2: Performance Management Lesson 2: Performance Management

Coaching for Performance

Despite all the benefits that come from coaching and giving feedback, in many organizations it is not happening. Addressing problems is not a situation that many people look forward to, but coaching can be an experience of learning and development rather than one of lecturing. Coaching:

- Helps employees come up with resolutions
- Helps identify external and internal obstacles
- Helps define good performance
- Improves employee and supervisor performance

Mouse over each bullet for more information.

NOTE: Coaching employees will be addressed more thoroughly in the Coaching, Counseling and Mentoring lesson.

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Reminder for Supervisors

The old adage that says: "The best defense is a good offense" is very true with respect to preventing poor performance. It is important that as a leader you take a pro-active role in the performance management process, especially during the monitoring phase. As Stephen Covey puts it, this "does not mean being pushy, obnoxious, or aggressive. It does mean recognizing our responsibility to make things happen."

– The 7 Habits of Highly Effective People

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Supervisor Scenario Revisited

Now that you have a better understanding of the monitoring phase of performance management, let's revisit the earlier scenario where you were reviewing Patricia's plan and recalled several instances recently where her work did not meet the set standard. What was the best way to assist Patricia in meeting your expectations?

Look at your notes. Which supervisory option did you select as the best choice?

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This page contains no comments

The screenshot shows a presentation slide titled "Leadership Application -- Plan" under the heading "Module 2: Performance Management" and "Lesson 2: Performance Management". The slide contains three text boxes with feedback information:

- NOT A GOOD CHOICE:** This option does not focus your attention on Patricia's performance nor does it provide the opportunity for her to improve. Performance issues that are not addressed can often escalate into poor performance that can result in unfavorable consequences for the individual, team, and organization. As part of the monitoring phase of the performance management process,
- NOT THE BEST CHOICE:** A performance improvement plan at this stage of the process would be premature. Most performance problems can be resolved through effective communication between supervisors and their employees. Supervisors should conduct a counseling session to clarify expectations and discuss performance problems. After you have explored informal ways to....
- THE BEST CHOICE:** The monitoring phase of the performance management process is all about providing effective and timely feedback regarding employee performance. As a supervisor, you can provide meaningful feedback by detailing what behaviors should be repeated and by addressing specific areas for improvement. When given specific feedback and guidance, most employees will....

At the bottom of the slide, there is a navigation instruction: "Click the Next button to continue, or the Previous button to review." and a page number "49 of 83". A control bar at the very bottom includes icons for "TDC", a list, a question mark, "FAQ", a printer, and navigation buttons for "Previous" and "Next".

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"The growth and development of people is the highest calling of leadership."
~ Harry S. Firestone

NOTE: More information on developing employees will be discussed in the "Employee Training and Development" lesson.

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Assessing Employee Needs



Where the employee is

Where the employee needs to be

G A P

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Closing the Gap

The diagram features three interlocking gears. The largest gear is red and labeled 'Experience - 70%' with the sub-label 'Apply and Master'. The bottom-left gear is silver and labeled 'Formal Training & Education - 10%' with the sub-label 'Acquire'. The bottom-right gear is silver and labeled 'Feedback & Coaching - 20%' with the sub-label 'Reflect, Challenge and Adapt'. Callout boxes provide details for each category.

- Projects
- Job Experiences
- Networking

- External & Internal Learning
- Formal Education

- Coaching
- Mentoring
- 360 Degree Feedback

- 70% of an employees development occurs on the job
- 20% of an employees development is through feedback and coaching received from a supervisor/mentor
- 10% is through formal internal/external education and training

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Identify special projects and assignments to develop leaders—Most people learn by doing. Workshop training and formal courses can develop critical fundamental skills while on-the-job experiences put those skills into play. If you can create opportunities for your employees to step outside their comfort zones and take on new responsibilities, they will gain invaluable experience.

Feedback is a natural part of the monitoring process of performance management, but specific and timely feedback to employees about their performance against established expectations also provides the foundation for discussing developmental needs.


Coaching and counseling provides individualized advice and instruction.

Mentoring helps employees clarify career goals, understand the organization, analyze strengths and developmental needs, build support networks, and deal with road blocks.

Learning teams can form to meet regularly to focus on improving performance.

Self-development includes a broad collection of techniques and approaches, such as self-analysis of competencies and interests, reading lists, and attending demonstrations at other organizations.

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Closing the Gap

The following are some suggested informal strategies that can be used:

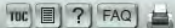
- Identify special projects and assignments to develop leaders
- Feedback
- Coaching and counseling
- Mentoring
- Learning teams
- Self-development

Mouse over each bullet for more information.

While these informal developmental strategies cost very little, they have potentially big payoffs in terms of improved individual and organizational performance.

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Developing Employees

During planning and monitoring of work, deficiencies in performance become evident and can be addressed. Once developmental needs are identified, the developing stage is an excellent opportunity to help employees improve performance. In developing, consider:

- Evaluating employee developmental needs
- Training
- Coaching and mentoring
- Assignments requiring new skills, increasing responsibility
- Improving work processes

Work assignments with structured guidance, close supervision, and regular feedback is the quickest and strongest way to develop your employees.

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Supervisor Scenario



Click Bob's file folder to address this issue.

Click to review your team

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Supervisor Scenario

You open Bob's file and look for his most recent evaluation. After inviting Bob to take a seat, you scan the results of his evaluation to refresh your memory. As Bob's supervisor, what should your next step be?



Click image to see your options.

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Scenario Response Options

The following are three options for how you, as a supervisor, could proceed.

- Immediately engage in a conversation with Bob pointing out examples of when he failed to perform to standard throughout the year.
- Listen to Bob's concerns and ask him to come back either later that afternoon or in the morning. You can then review the performance plan, record of rating and other documentation that support your rating decision.
- Tell Bob to contact the HR representative about the procedures for requesting a formal reconsideration.

 Read the options carefully and think about the one that seems to be the best choice. Write your selection down on paper. Later we will review all three options and why each may or may not be the best choice. For now let's look at the lesson content

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Rating Performance

In a car race, from the time the announcer says "drivers, start your engines" to the moment a car crosses the finish line, there is a constant dialogue between the driver and the crew chief. This dialogue consists of the driver telling the crew chief how the car is handling around corners, how it is accelerating, steering, and generally performing on the track.

This is also the crew chief informing the driver of his average speed, opportunities for advancement, opportune times for a pit stop and his overall place amongst the other drivers. This communication is important because it continually keeps the driver and crew chief up to date on current performance and prepares them for the final outcome. Whether the outcome is the checkered flag or last place, there usually aren't any surprises. Disappointments, maybe, but no surprises since they were aware of their progress throughout the race.

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Rating Performance

While most of the work for this phase of the process has been done upfront with documentation of objectives, progress, and development, there are several things you can be aware of or do to make this process more efficient and meaningful for everyone involved:

- Common mistakes
- Writing the evaluation
- Rating performance
- Rating of record
- Marginal employees
- End of year discussion
- Reconsideration process

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Rating: Common Mistakes

According to a study by the Society for Human Resource Management, nine out of ten employees say that performance appraisals are not only painful, they just don't work. Is this true? Think about your last appraisal. Was it beneficial to you as an employee? Was it beneficial for the organization? While rating an employee as part of the performance management process is definitely not a waste of time, there are some things we can avoid doing to make it less painful and more effective for everyone:

- Not assessing actual performance
- Giving infrequent feedback
- Focusing on blame instead of improvement
- Cancelling or postponing
- Giving generic assessments
- Providing inadequate documentation
- Inflating ratings

 *Click the bullet points for more information.*

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This page contains no comments

The screenshot shows a software interface for 'Module 2: Performance Management' and 'Lesson 2: Performance Management'. A circular diagram on the left depicts a process flow with 'Plan', 'Do', 'Check', and 'Act' stages. The main content area is titled 'Rating: Common Mistakes' and includes a reference to a study by the Society for Human Resource Management. A pop-up window is overlaid on the text, containing the following information:

Don't assess actual performance — Completely taking the "human factor" out of the rating phase may be impossible. However, it is important to remember that the performance management process is about personal performance not personal traits. Some supervisors have a tendency to focus on factors such as commitment, knowledge, or attitude when they are not measures of any kind of actual output.

Additionally, sometimes the rating of an employees performance focuses on the easiest things to measure, which are usually the least important with respect to doing a job. It is easy to measure whether someone was to work on time or how many tasks they were able to complete but how did that affect the organization or the customer?

Below the pop-up, there is a bullet point icon and the text: *Click the bullet points for more information.*

At the bottom of the interface, a footer reads: *Click the Next button to continue, or the Previous button to review.* The page number '58 of 83' is displayed on the right. The bottom toolbar includes icons for 'TDC', a list icon, a question mark, 'FAQ', a printer icon, and buttons for 'Previous' and 'Next'.

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The screenshot shows a software interface for 'Module 2: Performance Management' and 'Lesson 2: Performance Management'. A circular diagram on the left depicts a process flow with 'Plan', 'Do', 'Check', and 'Act' stages. A large text box is overlaid on the main content area, containing the following text:

Rating: Common Mistakes

According to a study by the Society for Human Resource Management, they just don't know how to do it. Was it beneficial for them as part of the process? It is definitely not a good idea to avoid doing it for everyone:

factor" out of the rating phase may be impossible. However, it is important to remember that the performance management process is about personal performance not personal traits. Some supervisors have a tendency to focus on factors such as commitment, knowledge, or attitude when they are not measures of any kind of actual output.

Additionally, sometimes the rating of an employees performance focuses on the easiest things to measure, which are usually the least important with respect to doing a job. It is easy to measure whether someone was to work on time or how many tasks they were able to complete but how did that affect the organization or the customer? Measuring quality is difficult so many supervisors don't do it.

Click the **bullet points** for more information.

Click the Next button to continue, or the Previous button to review.

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The bottom of the interface features a toolbar with icons for 'TDC', a list, a question mark, 'FAQ', and a printer icon, along with 'Previous' and 'Next' buttons.

This page contains no comments

The screenshot shows a web-based training module titled "Module 2: Performance Management" and "Lesson 2: Performance Management". A circular navigation diagram in the top left corner includes buttons for "Home", "Previous", "Next", and "Review". The main content area is titled "Rating: Common Mistakes" and contains text about a study by the Society for Human Resource Management. A pop-up window titled "Infrequent feedback" is overlaid on the content, describing the pitfalls of annual reviews. The background of the slide features a landscape with a blue sky and clouds. At the bottom, there are navigation controls including "Previous" and "Next" buttons, and a status bar indicating "58 of 83".

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Rating: Common Mistakes

According to a study by the Society for Human Resource Management, they just don't like performance appraisal. Was it beneficial for you as part of the program anywhere else in the business would operate in real time. At the very minimum, formal feedback needs to be given quarterly.

Infrequent feedback – If the primary goal of the process is to identify and resolve performance issues, executing the process annually won't work. A quality assessment/control program anywhere else in the business would operate in real time. At the very minimum, formal feedback needs to be given quarterly.

Using reviews to provide feedback for the first time - Picture this scenario: an employee is sitting at the edge of their chair waiting to receive what they believe will be a glowing review. Then, boom. Their manager cites five areas where their performance has been substandard. The employee sits in disbelief. After the first two comments, all they hears is "blah, blah, blah!"

Click the **bullet points** for more information.

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Module 2: Performance Management Lesson 2: Performance Management

Rating: Common Mistakes

According to a study by the Society for Human Resource Management, they just don't provide feedback. Was it beneficial for the employee as part of the review process? Definitely not a good idea to avoid doing this for everyone:

Using reviews to provide feedback for the first time - Picture this scenario: an employee is sitting at the edge of their chair waiting to receive what they believe will be a glowing review. Then, boom. Their manager cites five areas where their performance has been substandard. The employee sits in disbelief. After the first two comments, all they hear is "blah, blah, blah!"

This scenario happens everyday. Why? Too many supervisors and managers wait until review time to provide employees with any feedback. Tell employees how they are doing on a continuous basis so they know where they stand.

Click the bullet points for more information.

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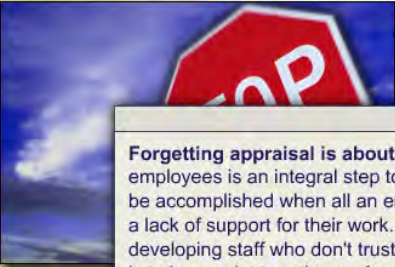
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Rating: Common Mistakes

According to a study by the Society for Human Resource Management, nine out of ten employees say that performance appraisals are not only painful, they just don't work. Is this true? Think about your last appraisal. Was it beneficial to you as an employee? Was it beneficial for

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




Forgetting appraisal is about improvement, not blame – Rating employees is an integral step to improving performance. This can not be accomplished when all an employee receives is individual blame and a lack of support for their work. Managers who forget this end up developing staff who don't trust them, or even can't stand them. If there is to be a point to rating performance it should be getting manager and employee working together to have everyone get better.

- Providing inadequate documentation
- Inflating ratings

 *Click the bullet points for more information.*

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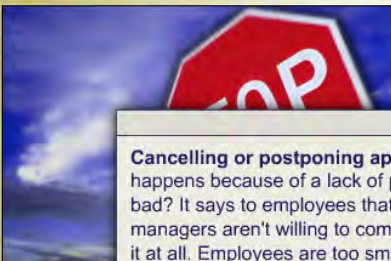

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Module 2: Performance Management

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Rating: Common Mistakes

According to a study by the Society for Human Resource Management, nine out of ten employees say that performance appraisals are not only painful, they just don't work. Is this true? Think about your last appraisal. Was it beneficial to you as an employee? Was it beneficial for the organization?

Cancelling or postponing appraisal meetings - Often times this happens because of a lack of planning and preparation. Why is this bad? It says to employees that the process is unimportant or phony. If managers aren't willing to commit to the process, then they shouldn't do it at all. Employees are too smart not to notice the low priority placed on rating their performance.

- Providing inadequate documentation
- Inflating ratings

 *Click the bullet points for more information.*


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Rating: Common Mistakes

According to a study by the Society for Human Resource Management, nine out of ten employees say that performance appraisals are not only painful, they just don't work. Is this true? Think about your last appraisal. Was it beneficial to you as an employee? Was it beneficial for

Thinking all employees and all jobs should be assessed in exactly the same way using the same procedures - Do all employees need the same things to improve their performance? Of course not. Some need specific feedback. Some don't. Some need more communication than others. Rating a veteran employee that has shown consistent competency in his duties the same as a new hire or intern would not give us the needed results to improve anyone's performance. Remember, when it comes to rating an employees performance, one size does not fit all.

Click the bullet points for more information.

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Module 2: Performance Management Lesson 2: Performance Management

Rating: Common Mistakes

According to a study by the Society for Human Resource Management, they just don't do it. Was it beneficial for them as part of the process? It's not a good idea to avoid doing it for everyone:

Lack of documentation - Performance appraisals need supporting documentation to justify employee performance ratings. Absent documentation that indicates the level at which an employee performs their job duties during the evaluation period -- usually 12 months -- a supervisor or manager would be hard-pressed to complete a fair and accurate performance appraisal. Documentation required for conducting performance appraisals includes employee job descriptions, notes concerning informal employee feedback throughout the year, attendance and disciplinary records, and copies of past performance appraisals. Preparing a performance appraisal without full documentation of an employee's performance might as well be guesswork instead of objective evaluation of employee job

Click the bullet points for more information.

Click the Next button to continue, or the Previous button to review.

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The screenshot shows a web-based learning module titled "Module 2: Performance Management" and "Lesson 2: Performance Management". A circular diagram on the left indicates a process flow: Plan, Do, Check, Act. The main content area is titled "Rating: Common Mistakes" and contains text about the importance of documentation in performance appraisals. A large text box is overlaid on the content, containing the following text:

supervisor or manager would be hard-pressed to complete a fair and accurate performance appraisal. Documentation required for conducting performance appraisals includes employee job descriptions, notes concerning informal employee feedback throughout the year, attendance and disciplinary records, and copies of past performance appraisals. Preparing a performance appraisal without full documentation of an employee's performance might as well be guesswork instead of objective evaluation of employee job performance.

Below the text box, there is a bullet point icon and the text: "Click the bullet points for more information."

At the bottom of the module, there is a navigation bar with icons for "TDC", "Help", "FAQ", and "Print". There are also "Previous" and "Next" buttons. The page number "58 of 83" is displayed in the bottom right corner.

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The screenshot shows a web-based learning module titled "Module 2: Performance Management" and "Lesson 2: Performance Management". A circular diagram on the left indicates a process flow: Plan, Do, Check, Act. The main content area is titled "Rating: Common Mistakes" and contains text about the importance of documentation in performance appraisals. A large text box is overlaid on the content, containing the following text:

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Below the text box, there is a bullet point icon and the text: "Click the bullet points for more information."

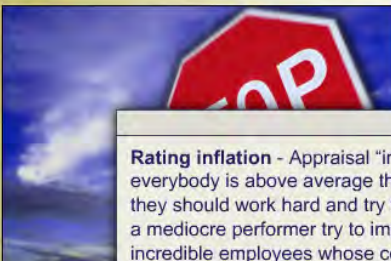
At the bottom of the module, there is a navigation bar with icons for "TDC", "Help", "FAQ", and "Print". There are also "Previous" and "Next" buttons. The page number "58 of 83" is displayed in the bottom right corner.

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Module 2: Performance Management

Lesson 2: Performance Management






Rating: Common Mistakes

According to a study by the Society for Human Resource Management, nine out of ten employees say that performance appraisals are not only painful, they just don't work. Is this true? Think about your last appraisal. Was it beneficial to you as an employee? Was it beneficial for the organization as part of the overall strategy? If not, why not? How can you avoid doing this for everyone?

Rating inflation - Appraisal "inflation" is a common problem. If everybody is above average then some employees may wonder why they should work hard and try to distinguish themselves. Or why should a mediocre performer try to improve? Most organizations have a few incredible employees whose contributions far exceed their numbers. For your appraisals to be meaningful there should be "daylight" between their scores and the others.

- Providing inadequate documentation
- Inflating ratings

 *Click the bullet points for more information.*

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Accomplishments and results: Describe the employee's impact on the organization's mission and goals. Focus on results instead of tasks.

Performance level: Include wording that describes the employee's level of performance for each goal. It must support and justify the rating you intend to give.

Behaviors: Describe how the employee exhibited the expected behaviors/values while achieving his or her goals.

Challenges and added value: Describe how the employee overcame challenges and dealt with special circumstances. Include wording that describes how the employee added value to the organization.

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Click the image for more information.

Writing the Evaluation

An evaluation is your written narrative assessment of the employee's performance as related to his or her documented objectives. Based on the documentation you compiled throughout the year, you can describe your employee's accomplishments, behaviors he or she exhibited in performing the work, and contributions he or she has made toward meeting the organizational goal and priorities by addressing each performance goal in your evaluation. A good evaluation includes:

- Accomplishments and results
- Performance level
- Behaviors
- Challenges and added value

Mouse over the bullets for more information.

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Click here for things to consider when writing an evaluation.

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The screenshot shows a presentation slide titled "Module 2: Performance Management" and "Lesson 2: Performance Management". The slide is titled "Writing the Evaluation" and contains the text: "An evaluation is your written narrative assessment of the employee's performance. It is a key tool for documenting and describing your employee's performance and contributions to the organization's goals and objectives." A large text box in the center of the slide lists five key questions to check for in a written evaluation: 1. What did the employee achieve? 2. How well did the employee achieve it? 3. How did it help the organization? 4. What expected behaviors did the employee exhibit? 5. What special circumstances made the employee's accomplishment significant? Below the list is a "JOB AID" icon with the text "Click here for things to consider when writing an evaluation." At the bottom of the slide, it says "Click the Next button to continue, or the Previous button to review." and "59 of 83". The bottom of the slide features a navigation bar with icons for "TDC", "Help", "FAQ", and "Print", along with "Previous" and "Next" buttons.

Module 2: Performance Management Lesson 2: Performance Management

Writing the Evaluation

An evaluation is your written narrative assessment of the employee's performance. It is a key tool for documenting and describing your employee's performance and contributions to the organization's goals and objectives.

Once the written evaluation is completed check to see if it answers the following key questions:

1. What did the employee achieve?
2. How well did the employee achieve it?
3. How did it help the organization?
4. What expected behaviors did the employee exhibit?
5. What special circumstances made the employee's accomplishment significant?

JOB AID Click here for things to consider when writing an evaluation.


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Module 2: Performance Management

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Sample Evaluation

Take a moment to review the sample evaluations of performance objectives.

OBJECTIVE: By 30 September, 2011, develop and implement a process for work assignment in the unit to achieve a 50% reductions in overtime claims.	
Poor Evaluation	John helped the organization save money by reducing overtime.
Good Evaluation	In just 3 months, John had built a better workload assignment system and implemented it. Not only was this nine months ahead of schedule, but it reduced employee overtime by 55% and cut employee complaints in the organization by two thirds.

OBJECTIVE: Provide customer service to an average of 2 customers per day (520 for the year) with an average customer satisfaction rating of at least 3.5.	
Poor Evaluation	John provided good customer service this year, helping the organization to succeed.
Good Evaluation	John served an average of 3 customers per day (over 700 this year). He received an overall 4.6 rating (out of 5) from customers where the unit average was 3.8. I also received eight written messages from his customers, all of whom praised his service.

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Author: AMSC Subject: Sticky Note Date: 9/20/2011 11:04:08 AM

Make sure you know and understand your organizations performance management system. Each system may have it's own unique method for assessing and rating employee performance. Request and review performance documentation from the employee before scheduled meeting. Doing this will allow the employee to provide support for how well they performed their objectives. Read carefully each performance standard level beginning with the Fully Successful one. It is to be considered the base level standard. Determine the level that best describes the employee's performance on each element. Each and every criterion in the standard does not have to be met by the employee in absolute terms to assign a particular rating level. The sum of the employee's performance of the element must, in the supervisors judgment, meet the assigned level's criteria. Schedule a meeting with each employee in advance to discuss their final rating of record.

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Rating Performance

The rating assigned reflects the level of the employee's performance as compared to the standards established. If an employee does not have an opportunity to perform a critical element during the rating period, no rating will be assigned and the words "Not Rated" should be written for that objective. When assigning a rating for each element, the supervisor should consider the following:

- Know your organization's system
- Get input from employees
- Evaluations should be based on performance standards
- Schedule a meeting

Mouse over the bullets for more information.

NOTE: Regardless of the performance management system, a rating of "unacceptable" or "failing" on a critical element results in an overall rating of "unacceptable" or "failing".

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Rating of Record

Rating is just a summary of the employee's individual objectives, progress towards those objectives, and their development acquired to achieve those objectives.

Supervisors should compile performance data from various sources as part of the rating process.

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Annual Appraisal Conversation

You are required to share the rating of record with your employee. Like all other performance feedback, this should take place in person, as well as in private. Take the opportunity to coach your employee by providing direct links from performance to the rating of record using specific examples. You can prepare yourself for this conversation by:

- Essential topics
- Recommended topics
- Things to remember

 Click the bullet points for more information.

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Click here for guidance on the annual appraisal conversation with your employees.


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Annual Appraisal Conversation

You are required to share the rating of record with your employee. Like all other performance feedback, this should take place in person, as well as in private. Take the opportunity to coach your employee by providing direct links from performance to the rating of record using the links provided for this purpose.

Discussing these essential topics:

- The employee's rating of record and the tie to performance
- The employee's performance against each goal and expected behavior

JOB AID Click here for guidance on the annual appraisal conversation with your employees.

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Annual Appraisal Conversation

You are required to share the rating of record with your employee. Like all other performance feedback, this should take place in person, as well as in private. Take the opportunity to coach your employee by providing direct links from performance to the rating of record using the links provided for this purpose.

Consider discussing these recommended topics:

- Informal/formal training and growth opportunities
- Potential barriers and opportunities for success in the coming year
- The employee's options for reconsideration

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[Click here for guidance on the annual appraisal conversation with your employees.](#)

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The screenshot shows a software interface for 'Module 2: Performance Management' and 'Lesson 2: Performance Management'. The main heading is 'Annual Appraisal Conversation'. A pop-up window titled 'Also, Remember to:' lists several reminders for the appraisal process. In the background, a 'JOB AID' icon is visible with a link to guidance on the annual appraisal conversation. The bottom of the screen features navigation buttons and a page number.

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Annual Appraisal Conversation

Also, Remember to:

- Bring a copy of your evaluation of the employee and review the employee's self-assessment prior to the meeting
- Refresh yourself on the goals and performance
- Show the relationship between the employee's performance and any pay changes
- Keep conversations on track
- Listen to the employee's concerns
- Clarify the employee's concerns
- Focus on the conversation
- Stick to the facts

JOB AID Click here for guidance on the annual appraisal conversation with your employees.

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Annual Appraisal Conversation

You are required to share the rating of record with your employee. If you are not comfortable with this, you can make the conversation private. Take the time to provide direct feedback using the rating of record using this tool.

- Refresh yourself on the goals and performance
- Show the relationship between the employee's performance and any pay changes
- Keep conversations on track
- Listen to the employee's concerns
- Clarify the employee's concerns
- Focus on the conversation
- Stick to the facts
- Keep emotions under control
- Articulate specific examples of good performance and opportunities for improvement

JOB AID

Click here for guidance on the annual appraisal conversation with your employees.

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Discussing Rating of Record

Consider the following tips if you are concerned about facing a difficult conversation:

- Having specific examples of behaviors that warrant the rating
- Having the performance standards available for reference
- Speaking in a calm, professional manner
- Allowing the employee to voice concerns while focusing the conversation on the link between performance and the final rating
- Brainstorming possibilities and scenarios for demonstrating higher performance the following year
- Being ready to develop an action plan with the employee for future, higher performance

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Discussing Rating of Record, Continued

Supervisors can prepare for difficult conversations regarding the final rating of record by:

- Providing clear, constant communication throughout the year that is focused on coaching for performance
- Providing constructive feedback that builds employee awareness and responsibility
- Communicating early and often to identify and resolve performance shortfalls
- Coaching the employee on thorough performance documentation
- Documenting thoroughly and specifically throughout the year

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[Click here for more information.](#)

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Reconsideration Process

If an employee has a concern about the rating given on a particular element, which, if changed, will affect the outcome of the rating of record, they may request a reconsideration of this rating.

If this occurs, you should contact your servicing Human Resources organization for the course of action required to take that is specific to your organization.

Allegations that a rating was based on prohibited discrimination, such as race, color, religion, sex, national origin, age, physical or mental disability, or reprisal may not be processed through the reconsideration procedure. Instead, such allegations will be processed through the EEO complaint procedure.



NOTE: Allegations that a rating was based on prohibited discrimination, such as race, color, religion, sex, national origin, age, physical or mental disability, or reprisal may not be processed through the reconsideration procedure. Instead, such allegations will be processed through the EEO complaint procedure.

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Informal Reconsideration

When possible, the employee and supervisor should informally attempt to resolve any disagreement about the performance appraisal and/or rating. An employee must discuss their dissatisfaction with the supervisor before requesting a formal reconsideration unless the employee requests in writing to move directly to the formal stage and this is allowed by the organization's reconsideration process.

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1. Plan

2. Monitor

3. Review

4. Improve



Formal Reconsideration

If meeting with the employee and discussing their concerns does not resolve the issue, the employee may request a formal reconsideration through their servicing Human Resources Office.

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Addressing Poor Performance

Although "poor performance" is not defined by statute, Title 5 of the United States Code characterizes unacceptable performance as "performance of an employee which fails to meet established performance standards in one or more critical elements of such employee's position."

NOTE: Rating officials should contact their servicing Human Resources Office or Labor Management Employee Relations specialist (LMERs) for assistance as soon as a problems with an employee's performance develops.

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Failing to address poor performance sends a clear message to other employees that you have unique standards for poor performers and that they need not meet your performance expectations

Poor performance usually only gets worse over time—rarely does it correct itself without action on the part of the supervisor

Taking action against one employee does not lower morale among other employees. In fact, the opposite is true. Often taking action leads to a more productive work environment

Constructive counseling given early and regularly not only often leads to performance improvement but also eliminates the need to consider more formal action that is even more unpleasant. Providing such counseling does not require special skills

Most performance-based actions are not appealed. The majority of appeals are won before the Merit Systems Protection Board

Module 2: Performance Management Lesson 2: Performance Management

Why Address Poor Performance?

Addressing poor performance right away is important because.

- It sends a clear message
- Poor performance is not self-correcting
- Makes for a more productive work environment
- Addressing it can eliminate more formal actions
- Most performance-based actions are not appealed

Mouse over the bullets for more information.

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Bullet 1:


Proper performance management includes things we discussed in the lesson on planning. Remember the performance plan, performance objectives, and critical elements? These are all developed with each employee to help them understand the goals of the organization, what needs to be done, why it needs to be done, and expectations for accomplishing goals. It also allows them to see a description of what "success" looks like. Sometimes just developing or reviewing the performance plan with the employee can help deter behaviors or actions that lead to poor performance.

Bullet 2:

It is also important to remember that if a performance based action is necessary (for example, removal or reassignment) that the employee's performance plan be written to stand up under a 3rd party review. (Refer back to "Planning for Performance" section of this lesson for specific details.)

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[Poor Performance Management Cycle >](#)
Step 1: 1 of 1



Step 1 -- Communicate: Write Effective Performance Plans

Well written performance plans are important to ensure that:

- Employees understand what is expected of them
- The performance plan will stand up under third party review if it is necessary to take a performance-based action (downgrade or removal) against an employee

 *Mouse over the bullets for more information.*

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For every hundred men hacking away at the branches of a diseased tree, only one will stoop to inspect the roots.
— Chinese proverb

Step 2 -- Identify Causes of Poor Performance

Because employee performance impacts the organizations performance, supervisors might be inclined to look for a quick fix like sending an employee to training or moving them into a different position. However, if you have an employee that has poor performance, it is important that you attempt to identify the root of the problem.

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If the root cause of a performance problem is an employee's lack of effort, then counseling, a direct warning, and then either discipline or a performance based adverse action would make sense.

If the root cause of the problem is a lack of resources or skills necessary to do the job properly, counseling, warning and then disciplining the employee won't help at all and may make things worse.

Similarly, if the root cause of the performance problem is a disability that could be reasonably accommodated, taking the traditional counseling/warning/discipline route would not only be ineffective, but would violate laws and regulations.

If the cause of poor performance is due to personal issues like depression, substance abuse, family issues, etc. you should encourage them to take advantage of the personal services offered through the Employee Assistance Program (EAP).

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Step 2 – Identify Causes of Poor Performance, Continued

It's important to carefully consider the cause or causes of a performance problem before attempting to deal with it. The reason is that different actions are likely to be effective in different situations. Also, some causes are employee based, while some are organization based.

When developing the right action to address the problem, consider whether the cause of poor performance is:

- Lack of effort
- Lack of resources
- Disability
- Personal issues

Mouse over the bullets for more information.



NOTE: Be sure to involve your local Human Resources Office in this process as they will be able to assist you with the appropriate way to handle poor performance related to personal issues or disabilities.

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[Poor Performance Management Cycle >](#)
Step 3: 1 of 3



Screen Subtitle: Step 3 – Preparing to Give Feedback
Before providing informal feedback, first take time to prepare:

- Gather samples of poor work
- Gather feedback from other sources, if appropriate
- Write down the points you want to make
- Review performance plan
- Review individual development plan (IDP)
- Make sure all communications are kept private
- Document your conversations

Then identify training or development opportunities.

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Step 3 -- Providing Informal Feedback

Providing an employee with informal feedback is an essential step to correcting poor performance. Doing this helps the employee know that you are aware of the problem and willing to work with them to identify a solution. The following is a list of suggestions that may be used to guide the conversation along to achieving a desired solution.

- State what has been observed, using facts not emotions
- Provide a statement regarding the impact of the action on others, or state the standard for acceptable work under the performance plan
- Wait for a response (let them talk)
- Ask for a solution; give suggestions, if needed
- Agree on a solution together
- Set a follow up date and time
- Thank the employee for their time
- Document everything and file it away

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Step 3 -- Formal Feedback

Formal Feedback:

- Is always provided to an employee both verbally and in writing
- Tells the employee the critical element in their Performance Plan under which their work is unacceptable, and why
- References or attaches specific examples of unacceptable work
- Could make its way to a third party (so ask your Human Resources Advisor if you need help)
- Must be followed by an opportunity for the employee to improve

Also, before moving any further through the poor performance management cycle make sure you answer the questions on the formal feedback checklist.

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[Click here for the formal feedback checklist.](#)

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Step 4 -- Implementing a Performance Improvement Plan (PIP): First Steps

Before moving ahead and implementing a PIP, take a moment to answer the following questions:

- Are you sure the issue is primarily a performance problem (as opposed to misconduct)?
- Have you communicated the standards to the employee?
- Are the standards clear and reasonable?
- Have you coordinated with your Human Resource Specialist?
- Have you told the employee which objectives he or she is failing?
- Have you counseled the employee?
- Have you provided the employee with developmental opportunities?



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Author: AMSC Subject: Sticky Note Date: 9/20/2011 11:04:08 AM

The PIP must identify the duration of the opportunity period. An opportunity period of no less than 90 days must be provided for each critical element in which the employee's performance is at the "Unacceptable" level. The PIP may be extended if the Rating Official feels additional time is needed to allow the employee to demonstrate acceptable performance at the "Acceptable" level.

The PIP must state the specific critical element(s) for which performance is at the "Unacceptable" level and describe the specific actions needed to improve performance to the "Acceptable" level. These actions must be specifically linked to the element for which performance was determined to be at the "Unacceptable" level.

It must include the performance requirement(s) and, if applicable, standard(s) that must be attained in order to meet the "Acceptable" level, and the consequences of failing to improve during the opportunity period. It must include the type(s) of assistance that will be offered to the employee to improve performance that is currently at the "Unacceptable" level. This assistance may include, but is not limited to, formal training, on-the-job training, counseling, and coaching. It is imperative that the Rating Official ensures that the assistance promised to the employee is delivered.

Within the PIP it is important that you clearly identify the assistance that you, as the supervisor, will be providing the employee. For example, an employee may be given a checklist, paired with another employee, offered training, and/or given closer supervision. Not every employee will require every type of assistance, but once assistance is offered, be sure to follow through with it during the performance improvement plan period.

It must include a statement that if the employee's performance improves but lapses again to the "Unacceptable" level on the same critical element(s) within 1-year from the start of the PIP, the Rating Official may propose a performance-based action, i.e., reduction in grade or termination, without placing the employee on an additional PIP.

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Poor Performance Management Cycle >
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Step 4 -- Implementing a PIP

A PIP should include the following information:


- Identify duration of opportunity period
- State critical element(s) needed to improve
- Include performance requirement(s) and standard(s) needed to bring performance to "meets expectations"
- Specify assistance to be given
- Include a statement that includes consequences

 Mouse over the bullets for more information.

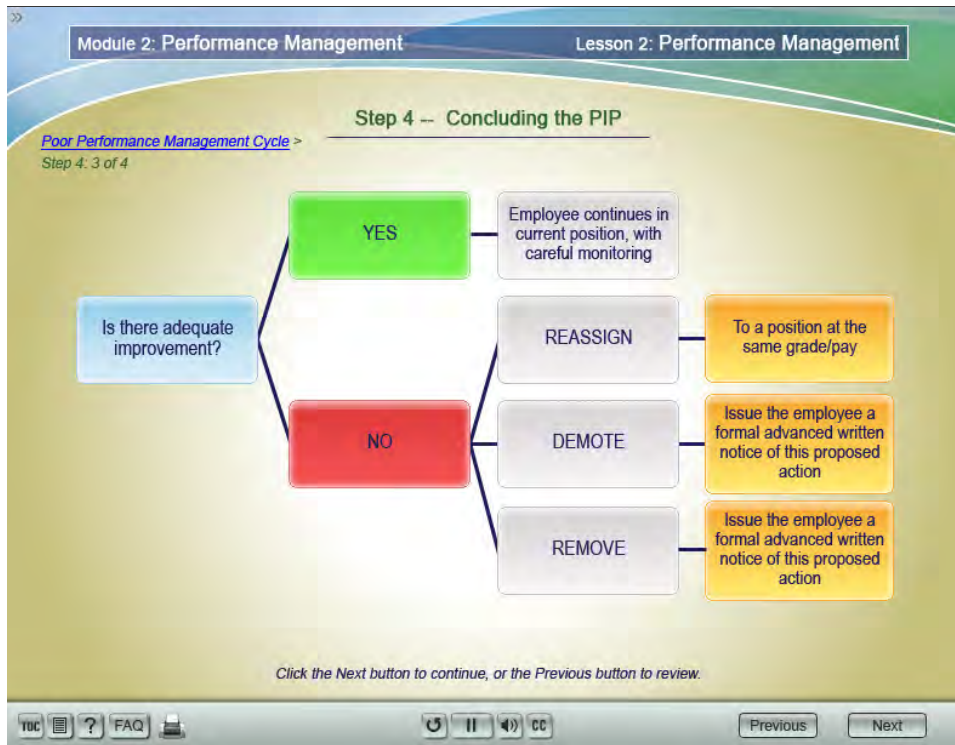
The actual performance improvement plan will need to be developed with the help of your Human Resource office as it will need to go through a formal legal review.

NOTE: A sample opportunity notice can be found at: <http://www.opm.gov/er/poor/son1.asp>

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Communicate clear performance outcomes and expectations to employees. If an employee doesn't understand what is expected, it will be very hard, if not impossible, for them to meet those expectations. Providing clear expectations doesn't necessarily require precisely written, detailed instructions to be laid out on every performance component. Generally, the question one should ask their self is: "Would a reasonable person understand what is expected?"


Provide regular and frequent feedback on performance. Such feedback, both positive and negative, whether given in regularly scheduled meetings or in unscheduled discussions, is crucial to ensuring that expectations are understood. Frequent feedback lessens the likelihood that an employee will be surprised if it becomes necessary to take formal steps to resolve poor performance. Always look for opportunities to confirm that employees understand what is expected.

Reward and recognize good performance formally and informally. Recognizing good performance is simply another way of clarifying expectations. Recognizing good performance also increases the likelihood that good performance will continue.

Make full use of probationary periods. Performance problems often first show up during the initial period of Government employment. Generally, a probationary period is one year for competitive service employees and for new supervisors, and one to two years for excepted service employees depending on their appointment authority. The probationary period is designed to give supervisors the opportunity to assess how well an employee can perform the duties of a job. Employees' performance during this time period usually serves as a good indication of how well they will perform throughout their career. During this period supervisors should provide assistance to help new employees improve their performance while at the same time determine whether or not the employee is suited for a position.

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Tips for Preventing Poor Performance


The best way for supervisors to handle poor performance issues is to take action to avoid performance problems before they occur. Such preventive actions include the following:

- Communicate clear performance outcomes and expectations to employees
- Provide regular and frequent feedback on performance
- Reward and recognize good performance formally and informally
- Make full use of the probationary periods

 *Mouse over the bullets for more information.*

NOTE: Be sure to check out OPM's Resource Center for Addressing and Resolving Poor Performance at <http://www.opm.gov/er/poor/>

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Supervisor Scenario Revisited

Now that you have a better understanding of the rating phase of performance management, let's revisit the earlier scenario where you reviewed Bob's most recent evaluation, in order to address his concern that he didn't think the evaluation was an accurate description of his accomplishments throughout the year.

Look at your notes. Which supervisory option did you select as the best choice?

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The slide is titled "Leadership Application -- Rate" and is part of "Module 2: Performance Management" and "Lesson 2: Performance Management". It contains three colored boxes with text:

- NOT A GOOD CHOICE:** Immediately engaging in a conversation with Bob is not in your best interest. Typically, most people would respond in a defensive and emotional manner when challenged. It is better to take time to reflect on the employee's concerns, review your records, and plan your discussion with the employee.
- THE BEST CHOICE:** When possible, the employee and rating official should informally attempt to resolve any disagreement about the performance rating. Listening to the employee and acknowledging their concerns builds trust and establishes an environment where open communication can take place. Asking Bob to come back at a later time allows you both to....
- NOT THE BEST CHOICE:** If Bob has a concern about a rating given on a particular element, which if changed, will affect the outcome of the rating of record, he has a right to request a reconsideration of this rating. However, the formal process of reconsideration should take place after several informal attempts have been made to resolve his concerns. When engaged in these informal attempts,


At the bottom, it says "Click the Next button to continue, or the Previous button to review." and "73 of 83". The footer contains icons for YouTube, a list, a question mark, FAQ, a printer, and navigation buttons for Previous and Next.

Meaningful – Make sure that the recognition has value to the individual receiving it. You may even give the employee the opportunity to decide how their recognition will be rewarded.

Timely – Recognition for a job well done is most meaningful and has the most impact when done when the work was performed. Waiting to recognize an employee until the next town hall has a tendency to lose its effect and may not carry the same organizational impact.

Specific - Ensure that the recognition is tied to a specific motivating event. The recognition is absolutely linked to specific motivating events (e.g., sales targets, living company values, etc.), is clearly defined, and is part of a total recognition system of the organization.

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Rewarding Performance

Supervisors do not so much motivate employees directly as they influence what employees are motivated to do. Rewards can be that tool used to provide the appropriate incentive that motivates employees to achieve high performance. To be effective, rewards need to be:

- Meaningful
- Timely
- Specific

Mouse over the bullets for more information.

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Rewarding Performance, Continued

Recognition is an ongoing, natural part of day-to-day experience. Good performance that is recognized without waiting can have lasting effects on the employee receiving the award as well as the entire organization. A good rewards program can affect the organization by:

- Promoting a culture of good performance
- Rewarding successful performers
- Promoting greater future performance

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The use of an annual performance award to take into account an employee's contributions to the accomplishment of organizational goals and objectives.

The use of other awards available to recognize and reward individuals and/or teams for specific achievements at any time during the appraisal period. This balanced approach provides a comprehensive set of tools to motivate employees to sustain a high level of performance and services.

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Rewarding Performance, Continued

In an effective organization, rewards are used well. Rewarding means recognizing employees, individually and as members of groups, for their performance and acknowledging their contributions to the agency's mission. Most organizations have an employee recognition program that is two tiered. This allows for:

1. Annual awards
2. Other awards

Mouse over the statements for more information.

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Author: AMSC Subject: Sticky Note Date: 9/20/2011 11:04:08 AM
Awards may be granted based on:

Suggestions,
Inventions,
Superior accomplishments,
Productivity gains,
Goal achievement,
Special acts or service in the public interest, or
Performance ratings of record (for individuals only.)

Each agency designs its awards program to meet its needs, and most awards programs include the types of awards listed above.


Author: AMSC Subject: Sticky Note Date: 9/20/2011 11:04:08 AM

Monetary - A monetary award is a cash payment that does not increase the employee's rate of basic pay. Example: A cash award for an employee that has just completed a high impact, short term project in less time than expected.

Honorary recognition - Many agencies include as part of their overall awards programs a traditional form of high-level "honor awards." Often, such honor awards do not use monetary recognition at all, but emphasize symbolic recognition of significant contributions and public recognition of organizational heroes. For example, a letter of appreciation, certificate, medal, plaque or item of nominal value.

Time off without charge to leave or loss of pay - A time-off award is where time-off from duty is granted without loss of pay or charge to leave for which the number of hours granted is commensurate with the employee's contribution and accomplishment. Example: After putting in extra hours and making significant contributions to the completion of a project a supervisor may reward the employee with a time off award of 8 hrs.

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Click the image to see criteria on which awards may be granted.

Types of Awards Available

The types of awards agencies may grant Federal employees as individuals or members of a group include:

- Monetary
- Honorary recognition
- Time off

Mouse over the bullets for more information.

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Showcase high performance for others to see – Recognizing high performance and achievement sends a clear message throughout the organization that excellence is valued. This also provides others with an example of what high performance looks like. By doing this you provide motivation and incentives for the positive performance to be continued and duplicated.

Add value to your employees – Small surprises and tokens of your appreciation spread throughout the year help your employees feel valued all year long. Recognition from supervisors ranks among the highest factors among employees that make them feel as if the organization cares about them and their well-being.

Drives employee engagement – When asked to list the top things that drive engagement in the workplace; consistently the number 1 and number 2 answer was appreciation and recognition for doing a great job at work. Money came in at number nine. If you want employees that are engaged with their work, recognize them when their work is done at an exceptional level.

Retention of top performers – Every organization has top performers. Those employees whose motivation to do a good job simply comes from within. These same employees usually are not self-promoters. So, to retain these valuable employees it is important that you provide them with adequate feedback that they contribute to the overall success of the organization. Doing this validates their decision to be a part of this organization.

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Importance of Rewarding
Rewarding employees has the power to:

- Showcase high performance for others to see
- Add value to your employees
- Drive employee engagement
- Retain top performers

Mouse over the bullets for more information.

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Plan

Monitor

Develop

Rate

In Summary...

Now that we have talked about each step in the Performance Management Process, you can see how each step is just as important as the next. They all rely on one another to meet the desired outcome. We've covered a lot of information so let's briefly review each step by clicking the links on the left.

Click each phase for more information.

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Report



Reflecting on the Process: Plan





Planning considerations include:

- Communication
- Planning work in advance
- Setting performance expectations and goals
- Getting employees involved in the process
- Establishing standards for performance appraisal plans
- Keeping plans flexible to adjust for changing work requirements

When used effectively, plans can be beneficial working documents that are discussed often, and not merely paperwork filed in a drawer and seen only when ratings are required.

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Reflecting on the Process: Monitor

Monitoring considerations include:

- Measuring performance and providing feedback on progress toward goals.
- Progress reviews comparing performance to established standards
- Identifying and addressing marginal performers

Small investments in time and effort throughout the year cultivate a trusting environment and encourage employees to remain focused on achieving organizational goals and priorities.

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Reflecting on the Process: Develop





Developing considerations include:

- Evaluating employee developmental needs
- Training
- Coaching and mentoring
- Assignments requiring new skills, increasing responsibility
- Improving work processes

During planning and monitoring of work, deficiencies in performance become evident and can be addressed. Once developmental needs are identified, the developing stage is an excellent opportunity to help employees improve performance.

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Overall

Process

Rate

Review

OVERALL PERFORMANCE RATING

☒ A

Demonstrated consistent mastery and expertise in performing her or his job.

☐ B

Demonstrated consistent proficiency and effectiveness in performing her or his job functions.

☐ C

Demonstrated competence in performing her or his job functions and achieving the goals/meeting the work priorities.

☐ D

Demonstrated competence in performing some, but not all, of her or his job functions.

☐ E

The employee has not demonstrated competence in performing her or his job.

Reflecting on the Process: Rate

Rating considerations include:

- Evaluating performance against standards in the performance plan
- Verification that the position description is current and accurate
- Discussion of developmental progress review

Supervisors should plan and prepare for the rating process throughout the appraisal period and not just at the end of the appraisal period.

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Reflecting on the Process: Reward

Recognition is an ongoing, natural part of the day-to-day work experience. Rewarding considerations include:

- Rewards that are meaningful, timely, and specific
- Rewards that are based on annual performance appraisals as well as specific achievement at anytime during the appraisal period
- Cash, time off, quality step increase, certificates and coins

Rewarding employees with monetary, honorary, or time-off awards can help supervisors to sustain high performance levels and increase motivation.

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Additional Considerations to Research

- When is it appropriate to use standardized objectives for each employee?
- When should the performance plan be developed? Fiscal year? Calendar year?
- What is local policy regarding performance plans?
- How do you resolve a disagreement with the employee in setting performance objectives?

[Click here](#) to open a PDF file of this list. You can then print it and add it to your Supervisor Development Folder.



Remember you can always click the FAQ button and/or the REF button to help you find answers.

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Additional Considerations to Research

- What if the employee is unavailable or refuses to sign the performance plan?
- What are the implications of not following prescribed protocol in the planning phase of the performance management process?
- What happens if you don't provide feedback throughout the performance management process?

[Click here](#) to open a PDF file of this list. You can then print it and add it to your Supervisor Development Folder.



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Additional Considerations to Research

- Does your organization have a specific process for documenting and providing feedback?
- How do you effectively monitor your employees without going overboard and being a micromanager?
- What kind of data collecting system will you use as part of your monitoring function?

[Click here](#) to open a PDF file of this list. You can then print it and add it to your Supervisor Development Folder.

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Additional Considerations to Research

- What resources are available to assist you with the monitoring process?
- What is your organization's rating protocol?
- How do you ensure that employees are rated in a fair and equitable manner?
- What is your plan to deal with a disgruntled employee?

[Click here](#) to open a PDF file of this list. You can then print it and add it to your Supervisor Development Folder.

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Additional Considerations to Research

- What is your organization's rating protocol?
- How do you ensure that employees are rated in a fair and equitable manner?
- What is your plan to deal with a disgruntled employee?
- How do you maintain confidentiality of employees' ratings?

 [Click here](#) to open a PDF file of this list. You can then print it and add it to your Supervisor Development Folder.



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Additional Considerations to Research

In the opening scenario of this lesson, your director tasked you to review the performance management process and evaluate how well you are or are not following the prescribed guidelines with respect to each of the steps of the process (planning, monitoring, developing, rating, and rewarding). The director also requested that you submit a specific course of action you plan to take as a result of your assessment. Do you feel better prepared to do that now? Did you write down ways that you could better apply each step of the performance management process?

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Lesson Takeaways

You have completed the Performance Management lesson. As a supervisor, it's important that you remember:

- When used effectively, plans can be beneficial working documents that are discussed often
- Small investments in time and effort throughout the year cultivate a trusting environment and encourage employees to remain focused on achieving organizational goals and priorities.
- During planning and monitoring of work, deficiencies in performance become evident and can be addressed. Once developmental needs are identified, the developing stage is an excellent opportunity to help employees improve performance.
- Supervisors should plan and prepare for the rating process throughout the appraisal period and not just at the end of the appraisal period.
- Rewarding employees with monetary, honorary, or time-off Awards can help supervisors to sustain high performance levels and increase motivation.



 *Click image for Supervisor Reflections*

Do you have a thorough understanding of the Lesson Takeaways? Do you still need to do some reading about the Additional Considerations listed on the previous screen? If you feel confident about your knowledge of Performance Management, proceed to the next lesson. If not, use the flyout menu to review, or use the Reference tool or FAQ tool to gain more knowledge.

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A certificate of completion for the Performance Management lesson. The certificate is framed in a blue border and features a gold seal. The text on the certificate reads: 'CERTIFICATE OF Completion', 'THIS AWARD IS GIVEN TO', 'You', 'IN RECOGNITION OF SKILLS GAINED BY', 'PARTICIPATION IN THE AWARD MANAGEMENT', 'STAFF COLLEGE'S R.D.C. LESSON'.

Lesson Complete!

Congratulations, SDC Student.

You have completed the Performance Management lesson. Remember, you can always come back to this lesson to review.

By clicking the Next button, you will be given the opportunity to provide us with feedback on the lesson you have just completed. Your input is important to us, and will help us keep our content and playability at the highest level possible.

Congratulations!

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