NEW BEGINNINGS

Lesson 3 Planning Performance

➢ Upon completion of this lesson, you will be able to:

– Explain the performance planning phase and its importance to the success of the performance management process.

– Explain how to link your work performance plan to your organization's mission and core values.

– Write performance standards for the performance plan using the SMART concept.

– Describe tools and techniques used to finalize the performance plan.

Performance Management

➢ Ongoing

➢ Supervisors and employees **share** responsibility

➢ Consist of:

  ✓ Proactively **planning** work and setting expectations

  ✓ Continually **monitoring** performance

  ✓ **Evaluating** performance in a summary fashion

  ✓ **Recognizing and rewarding** good performance

PLANNING

MONITORING

RECOGNIZING AND REWARDING

EVALUATING

PERFORMANCE MANAGEMENT

The Importance of Planning

- ✓ Plan work, set expectations for future results
- ✓ Connect employee's work to the DoD mission and how it cascades down to the employee
- ✓ Increase awareness of expectations and results
- ✓ Provide a sense of ownership in the plan
- ✓ Create a better understanding of performance and evaluation standards

Planning Phase

Effective performance planning is a result of employee and supervisor engagement that provides opportunity for employee input in establishing ongoing communication and establishment of a mutual understanding of performance expectations and organizational goals throughout the performance appraisal cycle

Planning Phase Roles and Responsibilities

Employees:

- **Identify achievable performance elements and standards for themselves**

- **Provide input to supervisor regarding the performance plan**

- **Ask questions to clarify the supervisor's expectations of their performance**

Supervisors:

- **Compile list of tasks**

- **Establish appropriate performance elements**

- **Establish quantifiable and measureable standards**

- **Communicate approved performance plan to employee and how performance expectations link to organizational goals**

- **Encourage continuous, meaningful two-way communication**

- **Proactively communicate the plan to the employee**

- **Provide a copy of the approved performance plan**

- **Conduct performance planning discussion s**

- **Modify the performance plan, as needed**

Performance Elements

➤ Performance elements describe what work is to be performed

- ❏ Performance plans must have a minimum of one critical performance element, maximum of 10, and each performance element must have associated standards that define expectations

- ❏ The number of supervisory performance elements on performance plans for supervisors will equal or exceed the number of non-supervisory (technical) performance elements

- ❏ An organization *may* have standardized performance elements

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➢ Standards describe how the requirements and expectations provided in the performance elements are to be evaluated

- ❑ Should be written using SMART criteria

- ❑ Must be written at "Fully Successful" level for each performance element

- ❑ Avoid using absolute standards (e.g., 100 percent, always, or never) unless critical to life and safety

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Are the standards applicable?

➢ Can the supervisor use the standards to appraise performance?

➢ The standards should clearly describe the factors that the supervisor would look for and how well those factors should be done

Standards should specify:

- Quality
- Quantity
- Timeliness
- Cost-effectiveness

Can the supervisor effectively use the data collected?

- If monitoring performance on the performance element is too costly or time-consuming, the standard might need to be altered to include more manageable standards

> ➤ Are expectations reasonable?

> ➤ Research has shown that setting expectations that are impossible or nearly impossible to achieve can actually cause performance levels to drop because employees tend to give up if they perceive the goal as impossible
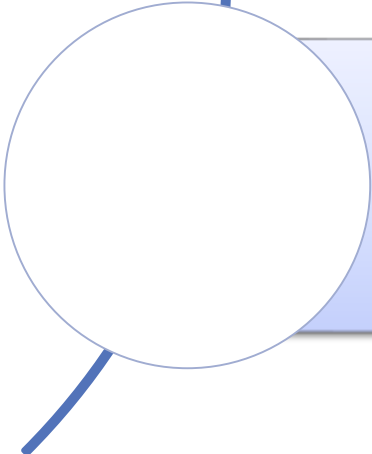
Are the standards fair?

- ➤ Are they comparable to expectations for other employees in similar positions?
  - – Applying different standards to employees doing the same work does not appear on its face to be fair or valid
  - – Requiring higher-level management review of standards for similar work across an organization may be one way of ensuring equity
- ➤ Do the standards allow for some margin of error?
  - – Requiring perfection is not fair in most instances

Can the Fully-Successful be surpassed?

Is it possible for an employee's performance to exceed the standard?

By including "Fully Successful" standards that cannot be surpassed, the performance plan effectively eliminates the opportunity for the employee to obtain a higher assessment

Are performance elements and standards adjustable?

➢ Can they be adapted readily to changes in resources?

➢ Performance elements and standards can be modified during the performance appraisal cycle to meet changing organizational goals and other situations

– As long as the employee works under the new standards for at least 90 days

➢ This flexibility allows performance plans to be used as management tools to manage employee performance on a day-to-day and week-to-week basis

Writing SMART Standards

S	Specific
M	Measurable
A	Achievable
R	Relevant
T	Timely

S **Specific: stated as simply, concisely, and explicitly as possible.**

- Defined as specific behaviors, efficiencies, or results
- Concrete and job-related
- Stated in active voice with one action verb

Example: Type written communications for the division.

M **Measurable: Outcome-oriented, reflecting the most important aspects of performance**

➢ Should be able to
- Evaluate objectively
- Identify criteria for success and failure
- Provide a number or percent that can be tracked

Example: Type written communications for the division with less than 3 errors per page.

A Achievable: Can be accomplished with available resources

➢ Should be:
- Realistic requirements
- Appropriate amount of work/responsibility
- Feasible according to the employee's competencies and the organization's resources

Example: Type written communications for the division according to the unit's established guidelines with no more than than 3 errors per page.

R Relevant: the standard is important to the employee and the organization.

➤ Should be:
- Consistent with the employee's role in the workplace.
- Aligned with the employee's skills, knowledge, and ability needed to reach fully successful
- Made clear to employee that task is important to success of the organization

Writing SMART Standards

> **T** Timely: Change within acceptable timeframe

> Should be:
> - State when task should be completed.
> - Express as a clear and unambiguous timeframe.
> - Plausible according to average workload.

Example: Type written communications for the division according to the unit's established guidelines, with no more than 3 errors per page and no less than 80% completed on time.

NEW BEGINNINGS

Timely

Specific

Relevant

Measurable/ Achievable

1. Provide relevant, timely, all-source intelligence reporting

Complete analysis of effects of UN-imposed sanctions on Iraqi industrial sector and present results in appropriately coordinated intelligence report for release to policy-making community by 31 August. Product will reflect engagement with other analysts and stakeholders, and incorporate their coordinated views. The completed product will make use of available intelligence from at least 90% of relevant sources as dictated by ICD 203.2 and reflect engagement with other stakeholders in the subject of the analysis.

Timely

Specific

Relevant

2. Provide accurate, timely customer service

Upon receipt of requests, provide accurate responses in the agreed-upon timeframes, as defined by ICD 24.8, using the appropriate format identified in SOP25 during the performance appraisal cycle ending March 31, 2017. This supports the organization's commitment to be responsive to customers and clients. Meet suspenses 90% of the time. Provide accurate responses with no more than 2 errors per request.

Measurable/ Achievable

Performance Plan

All of the written, or otherwise recorded, performance elements and standards that set expected performance. The plan must include critical performance elements and their standards. Each employee must have a written performance plan established and approved normally with **30** calendar days of start of the performance appraisal cycle, or employee's assignment to a new position or set of duties.

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Performance Plans (cont'd)

**Organizational performance plan
(e.g., Performance Assistance Plan)**

Individual Development Plan (IDP)

> **Organizational document that focuses on providing the workforce the options for employee development**

> **Records the learning and experience needed for short- and long-range career goals**

PERFORMANCE PLAN

- If the standards are generic, have they been supplemented with specific information so that employees know what they have to do to demonstrate "Fully Successful" performance?

- Performance elements and their standards should be written clearly and be specific to the job

Are the expectations established in the performance elements and standards quantifiable, observable, and/or verifiable?

Expectations that are specific and that clearly define what must be done and how well it must be done are more effective for managing and directing performance than vague or general expectations

Employees must know what they have to do and how well they have to do it to perform at a Fully Successful level

A change to the Performance Plan may be needed if there:

Are there new organizational goals

Is a change in assignment(s), position, or duties

Are outside influences beyond an employee's control that make the original performance elements unachievable

Is a change in assumptions about what can be reasonably achieved during the performance appraisal cycle

Are new priorities

Are shifts or changes in mission

✓ **Minimum 90 calendar days for:**

- monitoring of approved performance plans

- employee performance of new performance elements

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After discussion(s), finalize a written performance plan

It's important that both the supervisor and the employee understand the performance plan, even if not in agreement

Plans must be clearly communicated to and acknowledged by employees

Performance Plan Checklist

> When developing a performance plan, ask:

Is the Fully Successful performance level clearly understood by supervisor and employee	Are the standards achievable?	Are the standards fair?
Are the standards applicable?	Will employees understand what is required?	Are the performance elements and standards adjustable?
	Can the "Fully Successful" level be surpassed?	

Using the performance plan checklist and involving employees allows for:

- A better understanding of what is expected
- An understanding of the terminology used
- An understanding of how performance will be measured
- Acceptance and trust in the process

➢ Communicate how performance elements and standards relate back to organizational goals

➢ Ask for feedback on the performance elements and standards

performance elements

Standards

Organizational Goals

➤ You should now be able to:

– Explain the performance planning phase and its importance to the success of the performance management process.

– Explain how to link your work performance plan to your organization's mission and core values.

– Write performance standards for the performance plan using the SMART concept.

– Describe tools and techniques used to finalize the performance plan.

➢ Are there any questions?

Additional Resources

➢ DODI 1400.25, Volume 410, *DoD Civilian Personnel Management System: Training, Education, and Professional Development.*

➢ DODI 1400.25, Volume 431, *DoD Civilian Personnel Management System: Performance Management and Appraisal Program*.

➢ DODI 1400.25, Volume 451, *DoD Civilian Personnel Management System: Awards*

➢ *A Handbook for Measuring Employee Performance: Aligning Employee Performance Plans with Organizational Goals.*   Available at:

https://www.opm.gov/policy-data oversight/performance-management/measuring/employee_performance_handbook.pdf

➢ DCPAS Resources and References web site includes: DCPAS HR Toolkit, Tip Sheets and Checklist, MyPerformance Training Videos, and MyPerformance User Guides

https://www.cpms.osd.mil/Subpage/NewBeginnings/ResourcesReferences/

➢ DCPAS LERD web site

https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Pages/Home1.aspx