



Performance Management Overview and Developing Self-Assessments

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LESA Briefing

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Performance Management Lifecycle

Planning

- Setting Goals
- Writing Performance Standards

Monitoring

- Measure Performance
- Provide Feedback
- Conduct Progress reviews
- Addressing Poor Performance

Developing

- Assess employees training and development needs

Rating

- Summarize Performance
- Assign Rating of Record

Rewarding

- Recognize and Reward Good Performance



Performance Plans



- Documents an employee's assigned responsibilities and how performance will be measured
- Should be developed by supervisor and employee together
 - Supervisor has final decision
- Must be provided to and discussed with employees (face-to-face)
 - If unclear, ask for clarification and/or examples.
- Performance plans should be updated when:
 - Employee receives significant new work assignments (including matrixed assignments)
 - Performance standards/indicators are not accurate
 - Employee begins a work detail expected to last 90 days or more

Understanding Critical Elements



- Critical Elements should reflect the most important work for which you are responsible during the appraisal cycle
 - Critical: work is of such importance that failure to meet standards = Unacceptable rating
- A Performance Standard is:
 - Required at Level 3, Meets Expectations
 - An expression of a performance threshold, requirement, or expectation
 - Should be specific, measurable, aggressive yet achievable, results-oriented and time based
- A Performance Indicator is:
 - Required at Level 5, Substantively Exceeds Expectations
 - Substantively Exceeds means: *consistently* exceeds the performance standards *to a substantial degree*
 - Indicators are information/examples of performance reflecting Substantively Exceeds level, not “must meet” requirements like standards



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Monitoring Performance

- Monitoring performance is the responsibility of both the supervisor and employee
- Monitoring performance includes:
 - On-going communication
 - Tracking progress
 - Progress reviews, including midpoint
 - Re-evaluating expectations if employee's responsibilities change
 - Addressing performance problems



On-going Communication

- Be an active participant in performance-related communication with your supervisor
 - Keep your supervisor informed about your work
 - Take advantage of opportunities to provide input
 - Encourage and remain open to constructive feedback
 - Listen and ask questions to facilitate understanding about your supervisor's expectations and your progress
 - Request assistance and support when needed



Midpoint Review

- Employees are responsible for:
 - Taking an active role in communications with your supervisor about performance throughout the year, to include asking for feedback and guidance if you are unclear about your supervisor's expectations regarding the assessment of your performance
 - Providing information regarding your progress through a Self-Assessment
- At the end of the Midpoint Review, both the employee and supervisor should be clear about:
 - The level at which the employee is currently performing
 - Performance expectations for the remainder of the performance period



Performance Ratings

- Preparing for rating assessment
 - Provide your supervisor with:
 - Self-assessment
 - Names of individuals to request supplemental feedback from
 - Feedback you've received from peers, customers, etc.



Performance Ratings Cont.

Element rating levels

- Individual performance elements under EPCS will be rated at one of only three levels:
 - Substantively Exceeds Expectations (Level 5) – Performance that consistently exceeds the performance standards to a substantial degree for the element
 - Meets Expectations (Level 3) – Performance that fully and consistently meets the performance standards identified for the element
 - Fails to Meet Expectations (Level 1) – Performance that fails to meet the established performance standards for the element

Summary Rating

- Summary ratings will be determined by calculating the average of 3 and 5 element ratings with the following thresholds:
 - 3.X = Fully Successful (Level 3) summary rating
 - 4.X = Accomplished (Level 4) summary rating
 - 5.0 = Distinguished (Level 5) summary rating
 - If any element is rated 1, the summary rating is Unacceptable (Level 1)



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Rating Considerations

- Employees can only be held accountable for results within their control
 - Communicate any reasons why you may have unable to accomplish assignments within your plan
 - Objectives impacted by COVID-19, mandatory telework, limited on-site work, leave or other reasons
 - Objectives impacted by project or milestone changes
- Ask for examples of what “substantively exceeds expectations” (level 5) looks like
- During some performance periods, the opportunity to demonstrate performance at the “substantively exceeds expectations” (level 5) may not exist



Rating Reconsiderations

Summary Rating

Augustina's Summary (overall) Performance Rating is: **Accomplished**

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Reconsideration

Sign

- Employees must submit rating reconsideration request within 15 calendar days of receipt of rating
- The date the Rating Official signs the rating it is considered “received”
- Clicking the reconsideration button in SPACE generates an e-mail which provides procedures for the reconsideration process
- All other reconsideration activities will occur outside of SPACE
- Rating Official is responsible for issuing a decision within 15 work days of the request – the Rating Official is responsible for offering the employee the opportunity for an oral discussion



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Providing Input on Your Performance



- Self-Assessments
 - Provide examples that connect your progress to specific elements in your performance plan
 - Reference your accomplishments in your Self-Assessment against the measurable performance standards outlined in your performance plan (e.g., quality, quantity, timeliness, and/or cost effectiveness) to allow for a clearer, more objective evaluation by your rating official.
 - Whenever possible, illustrate accomplishments in your Self-Assessment by including details of how you performed against deadlines, time limitations, budget restrictions, etc.
 - Self-assessments should encompass more than accomplishments
 - Did you accomplish what you were required to? More? Less?
 - What should you have accomplished, but did not?
 - What went well, what didn't?
 - What was the best thing you accomplished?
 - What were your challenges?
- Supplemental Feedback
 - You are encouraged to provide your rating official with the names of individuals that you would like them to request feedback on your performance from. Ex. Customers, detail supervisors, etc.



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Providing Input on Your Performance Cont.

Activities vs. Accomplishments

- Activities are actions used to produce results
- Examples:
 - Holds or attends meetings
 - Serves customers
 - Answers the phone
 - Writes reports
 - Represents agency at events
- Results are outcomes of actions, activities, and demonstrated competencies
- Examples:
 - Files that are organized
 - Software that works as planned
 - A report that is complete and meets all specifications
 - Reduced lead levels in the region's water
 - An appraisal program that scores above 80 points on the PAAT
 - Improved customer satisfaction rates
 - A balanced budget
 - A reduced backlog



Providing Input on Your Performance Cont.

Challenge

- Describe a specific problem or goal

Context

- Describe the individuals or groups with whom you worked, and/or the environment in which you tackled the particular challenge/goal described.

Action

- Describe the specific actions the you took to address the challenge/goal.

Results

- Describe specific results of your actions in addressing the challenge or goal described as it relates to the performance standards and indicators. When applicable, include measure the quality, quantity, timeliness and cost-effectiveness of results.



Tips for Receiving Feedback

- Recognize that feedback can be difficult to receive, but be open to what you are hearing
- Listen without comment until the person providing feedback is finished, and really listen to the words being used
- Recognize that giving feedback is a difficult task and thank your supervisor for his/her time and candidness
- Take notes so you can capture what is being said and can refer to it later
- Allow yourself time to process the information, and then schedule a follow-up meeting if necessary
- Ask for specific examples if you want clarification about a specific critique or comment
- Realize that the feedback you are being given is an individual interpretation



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