



PERFORMS Training for EPA Headquarters Employees

Participant Guide



Planning
Performance



Monitoring
Performance



Recognizing
Performance



Developing
Performance



Appraising
Performance

PERFORMS

Introduction

This participant guide provides all of the information presented in the introductory course on PERFORMS. This course will assist you in improving or developing skills required to implement PERFORMS. In addition, this course will provide further instruction on the development and implementation of Performance Plans. Because providing an atmosphere of open communication and constructive feedback is the foundation for successfully implementing PERFORMS, this workshop will also provide you with the opportunity to practice giving and receiving constructive feedback.

Training will be accomplished during a half-day interactive activity-based training session with brief lectures, active participant discussions, group discussions and exercises, and small-group exercises. All exercise instructions and copies of handouts are in this guide.

Background

On June 1, 1998, the Environmental Protection Agency (EPA) implemented a new performance management system--PERFORMS (Performance Planning, Employee Rating, Feedback, Opportunity, and Recognition Management System). The goal of this new program is to streamline and simplify the current performance management process. PERFORMS was designed in association with the unions and this program was negotiated with AFGE and NTEU representatives.

As EPA transitions from the current five-level performance management system to the two-level PERFORMS system, EPA will train Headquarters employees on the criteria and procedures necessary to participate in the program. In addition, EPA will provide employees with comprehensive guides on the new performance management process.

About This Course

Course Goal The overall goal of the course is to develop the necessary knowledge and skills to meet the requirements of PERFORMS.

Course Objectives

At the end of this course, you will be able to:

1. Explain PERFORMS, including its key features and components.
 2. Demonstrate the principles for providing and receiving constructive feedback.
 3. Describe how performance is appraised and developed under PERFORMS.
 4. Explain the procedures for rewarding performance under PERFORMS.
 5. Provide answers to the ten most frequently asked questions about PERFORMS.
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About This Course

Course Schedule

The following is the schedule for this course.

Topic	Title	Time (hrs)
Unit 1	Introduction and Course Overview	0:10
	Key Features of PERFORMS	0:15
	Break	0:10
Unit 2	The Principles of Constructive Feedback	1:55
	Break	0:10
Unit 3	The Ten Most Frequently Asked Questions	0:65
	Summary and Evaluation	0:15
	Total	4:00

PERFORMS

Objectives

At the end of this unit, you will be able to state the purpose of the course.

Scope

Introduction of instructor and participants, overview of the course, any related administrative matters, and answers to questions about the course.

Introduction and Course Overview

Topic 1: Course Introduction

Notes

PERFORMS Training

Introduction and Course Overview

U.S. Environmental Protection Agency

Topic 2: Instructional Plan

Purpose of Course

- ✦ **To provide practice giving and receiving constructive feedback**
- ✦ **To provide answers to the ten most frequently asked questions about PERFORMS**

Introduction and Course Overview

Notes

Course Objectives

At the end of this course, you will be able to:

1. Explain PERFORMS
2. Demonstrate the principles for providing and receiving constructive feedback
3. Describe performance appraisal and development
4. Explain procedures for rewarding performance
5. Provide answers to the ten most frequently asked questions about PERFORMS

Topic 3: Overview

Schedule

Introduction and Course Overview	10 minutes
Key Features of PERFORMS	15 minutes
Break	10 minutes
Principles of Constructive Feedback	1 hour, 55 minutes
Break	10 minutes
10 Most Frequent Questions	65 minutes
Course Review, Summary, and Evaluation	15 minutes
Total	4 hours

Introduction and Course Overview

Topic 4: Administration

Notes

There are no slides for this topic.

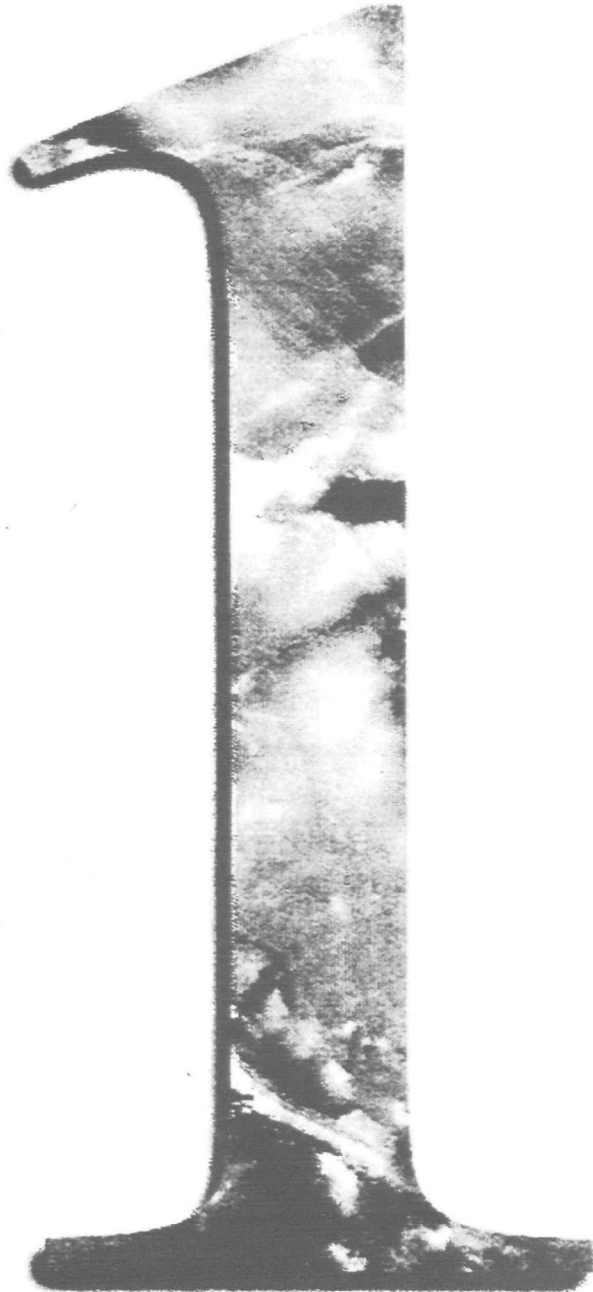
Objectives

At the end of this unit, you will be able to:

1. List the objectives and key features of PERFORMS.
2. Identify the five components of PERFORMS.

Scope

The purpose of this unit is to provide you with an overview of the key features of the new HQ PERFORMS Program. This unit will include a brief description of the content and components of PERFORMS.



Unit 1: Key Features of PERFORMS

Unit Introduction

Notes

PERFORMS Training

Unit 1: Key Features of PERFORMS

U.S. Environmental Protection Agency

Topic 1: What is PERFORMS?

Unit Objectives

- 1. List objectives and key features of PERFORMS**
- 2. Identify the five components of PERFORMS**

Key Features of PERFORMS

- ✦ Agency-wide system
- ✦ Annual appraisal period Jan 1 to Dec 31
- ✦ Mid-year feedback discussion & employee development discussion required
- ✦ Two-level system
- ✦ De-links cash performance awards from ratings
- ✦ Continuous feedback

Advantages of PERFORMS

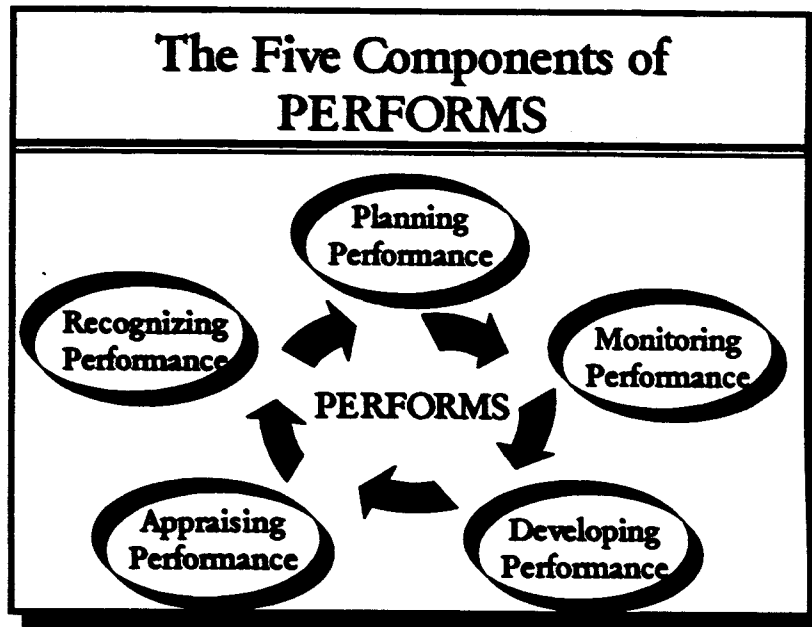
PERFORMS is a process that:

- ✦ Is simple
- ✦ Is streamlined
- ✦ Provides frequent & meaningful communication

Unit 1: Key Features of PERFORMS

Topic 2: The Five Components of PERFORMS

Notes



Unit 2: The Principles of Constructive Feedback

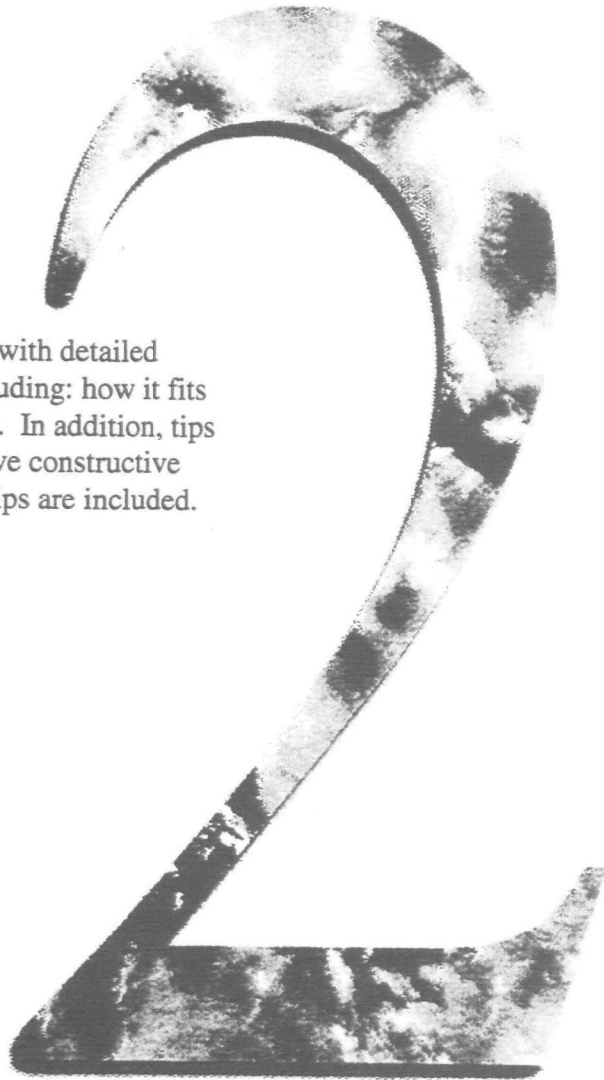
Objectives

At the end of this unit, you will be able to:

1. Discuss how feedback fits into PERFORMS, including why it is important.
2. Define constructive feedback.
3. Demonstrate the principles of giving and receiving constructive feedback.

Scope

The purpose of this unit is to provide you with detailed information on constructive feedback including: how it fits into PERFORMS, and why it is important. In addition, tips will be provided on how to give and receive constructive feedback. Activities for practicing these tips are included.



Unit 2: The Principles of Constructive Feedback

Unit Introduction

Notes

PERFORMS Training

Unit 2: The Principles of Constructive Feedback

U.S. Environmental Protection Agency

Unit 2 Objectives

- 1. Discuss how feedback fits into PERFORMS**
- 2. Define constructive feedback**
- 3. Demonstrate the principles of giving and receiving constructive feedback**

Unit 2: The Principles of Constructive Feedback

Topic 1: How Feedback Fits into PERFORMS

Notes

Feedback and PERFORMS

- ✦ Feedback critical to the success of PERFORMS
- ✦ Open communication between employee and supervisor vital to performance

Topic 2: Providing Constructive Feedback

Constructive Feedback

Providing positive and negative information to an employee in order to:

- improve performance
- encourage the continuance of desired behavior

Unit 2: The Principles of Constructive Feedback

Notes

Elements of Constructive Feedback

- ✦ Presented in a noncritical manner
- ✦ Reinforces positive behaviors and corrects unsatisfactory behaviors
- ✦ Recognizes outstanding performance

Feedback Tips

- ✦ Direct
- ✦ Immediate
- ✦ Specific
- ✦ Focused on the Work Issue
- ✦ Balanced

Unit 2: The Principles of Constructive Feedback

Class Discussion of Feedback Examples

Listen to the instructor read the following examples of feedback. After each one, ask yourself if you think it is constructive feedback.

- 1. I really enjoyed the way you handled the staff meeting when you were filling in for Alice this week. You kept on schedule, did a good job of leading discussion, and made it fun for all of us.*
- 2. John Smallwood in the Multimedia Division asked me to tell you that he thought you needed work on giving presentations.*
- 3. You really need to improve your attitude if you are going to continue working here.*
- 4. You did a great job with the report on pollution in the Mississippi River that you finished last week. It was clear, easy to follow, and had great illustrations.*
- 5. We couldn't discuss the first topic on the agenda at the staff meeting because you arrived late and were going to bring the budget. We were looking forward to seeing what you came up with.*
- 6. Have you ever considered taking a course in English grammar?*

Notes

Tip About Positive Feedback:

Remember to Give It!

Unit 2: The Principles of Constructive Feedback

Notes

Giving Feedback

When you ...

I would like ...

I'm concerned. ... **Pause**

Because ...

Because I ...

What do you
think?

Unit 2: The Principles of Constructive Feedback

Communication Techniques For Giving Negative Feedback

Step	Explanation	Example
"When you. . ."	State specific facts of behavior (non-judgmental).	When you do not attend staff meetings like you did today and last week. . .
"I'm concerned. . ."	Describe how behavior affects you or the office.	I get concerned. . .
"Because I. . ."	State why the observed behavior affected you in this way.	because I value your contributions. You play an important role in this office accomplishing its goals.
Pause and listen for response	Give the other person an opportunity to respond.	
"I would like. . ."	Describe change you want other person to consider.	I would like you to consider planning your schedule so that you can attend meetings, or calling in advance if there is an important reason for the meeting to be rescheduled.
"Because. . ."	State why the change is needed	Because you are a valuable member of our team and we miss your input when you are not there.
"What do you think?"	Listen to response. Discuss options and compromise on a solution, if necessary.	One way to ensure that both our needs are met is to ...

Unit 2: The Principles of Constructive Feedback

Topic 3: Receiving Constructive Feedback

Notes

Responding to Feedback

- ✦ Understanding the feedback through active listening
- ✦ Identifying problem behaviors
- ✦ Forming an action plan

Listening Process

- ✦ Attending
- ✦ Interpreting
- ✦ Responding

Unit 2: The Principles of Constructive Feedback

Notes

Active Listening

- ✦ Concentrating
- ✦ Not interrupting
- ✦ Seeking the meaning
- ✦ Asking questions

Key Considerations for Effective Listening

- ✦ Some actions are observable
- ✦ Some actions have verbal and nonverbal components which may not coincide
- ✦ Both nonverbal and verbal actions should be considered

Unit 2: The Principles of Constructive Feedback



Activity 2-1 Giving and Receiving Constructive Feedback

Directions: Divide into small groups of three. The roles within each group will be “person giving feedback” and “person receiving feedback.” The third member of the group will assume the role of “observer.”

You will role play three feedback situations. Assign numbers 1 to 3 to your group members. The numbers correspond to the role plays in your participant guide. **You should only read the role play for your own scenario.** The scenario is written for the person giving feedback. For each role play you should assign someone to receive the feedback and to be the observer.

The observer needs to complete two observation forms: one for the person giving feedback and one for the person receiving feedback.

You will have 15 minutes for each role play.

Unit 2: The Principles of Constructive Feedback



Activity 2-1

Observation Form for Person Giving Feedback

Person Observed _____

	Rating			Comments
	<i>Fair</i>	<i>Good</i>	<i>Excellent</i>	
Feedback was:				
Relevant to the specific task	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
Tied to specific goals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
Only about behavior the employee could control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
About positive performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
About areas in need of improvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

Unit 2: The Principles of Constructive Feedback

Activity 2-1

Observation Form for Person Receiving Feedback

Person Observed _____

	Rating			Comments
	<i>Fair</i>	<i>Good</i>	<i>Excellent</i>	
<i>Attending:</i>				
Eye contact	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
Nodding head	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
Not interrupting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
<i>Responding:</i>				
Asking questions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
Summarizing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
Paraphrasing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____
<i>Interpreting:</i>				
How well did the listener appear to understand the feedback?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____

Unit 2: The Principles of Constructive Feedback

Activity 2-1

Role Play # 1

An experienced administrative assistant has been showing signs of problem performance for the past couple of months. When she started her job a year ago, she was completing all of her tasks efficiently and on time. However, two months ago, the quality of her work started to deteriorate. Although she was still completing work requests on time, numerous errors began appearing in her word-processing documents and she was not completing important administrative matters. Yesterday a document that was sent to the regions for review had several embarrassing typos, including referring to the “manager” of the office as the “manger” of the office and giving his name as “Toad,” rather than “Todd.”

Unit 2: The Principles of Constructive Feedback

Activity 2-1

Role Play # 2

A biologist with the Office of Science and Technology has recently shown problems in performance. You have noticed that in the past three months, he is not as active and involved with his team as he once was. Lately, members of his water quality model team have complained that it is hard to get in touch with him to answer questions about their work and he has canceled important team meetings. His team also missed a publication deadline because he failed to deliver his research report on time. You have noticed, however, that the quality of his work has not fallen.

Unit 2: The Principles of Constructive Feedback

Activity 2-1

Role Play # 3

A relatively new manager is finding an unwillingness among her new employees to complete her work requests. She is much younger than many of her new staff, who have been with EPA for a number of years. Staff under the new manager have expressed to others that they feel they are being ordered around. They also express concern and frustration because the new manager has not taken the time to “get to know” her new staff. Her office is not as efficient as it once was before she arrived in terms of responding to public inquiries and you received a complaint yesterday that she had not responded in two months to an inquiry from Standard Oil.

Unit 2: The Principles of Constructive Feedback

Discussion of Activity 2-1

Notes

Discussion Points

◆ Feedback Skills

- Non-critical
- Specific
- Feedback given on good and bad behaviors
- Feedback given on behaviors an employee can control

Discussion Points

◆ Active Listening Skills

- Attend to
- Not interrupted
- Meaning sought
- Questions asked

Unit 2: The Principles of Constructive Feedback

Unit Summary

Notes

Unit Summary

- ✦ Constructive feedback is the most important aspect to PERFORMS.
- ✦ Constructive feedback is the result of open and honest communication.
- ✦ Constructive feedback and active listening should be used on the job regularly.

Unit 3: Ten Most Frequently Asked Questions

Objectives

At the end of this unit, you will be able to answer the ten most frequently asked questions about PERFORMS.

Scope

This unit will present and answer the ten most frequently asked questions about PERFORMS. The questions will cover linking Performance Plans to EPA's goals, the difference between a measure and a standard, standards for resource managers, the definition of retention standards, the sources of appraisal input, the appraisal process, how to develop an Individual Development Plan, performance expectations, how to nominate someone for an award, and the proposed Awards Board process.



Unit 3: Ten Most Frequently Asked Questions

Unit Introduction

Notes

PERFORMS Training

Unit 3: The 10 Most Frequently Asked Questions

U.S. Environmental Protection Agency

Unit 3 Objective

**Be able to answer the ten most
frequently asked questions about
PERFORMS**

Unit 3: Ten Most Frequently Asked Questions

The Ten Most Frequently Asked Questions

Notes

1. How do performance plans link to EPA's goals?
2. What is the difference between a measure and a standard?
3. What are retention standards?
4. Are there mandatory standards for resource managers?
5. What are sources of appraisal input?
6. What is the end-of-year appraisal process?
7. How do you develop an individual development plan?
8. What are the performance expectations made by PERFORMS?
9. What procedure is used to recommend an employee for an award?
10. What is the awards process?

Unit 3: Ten Most Frequently Asked Questions

Question 1

How Do Performance Plans Link to EPA's Goals?

Notes

EPA's Goals

1. Clean air
2. Clean & safe water
3. Safe food
4. Prevent pollution and reduce risk
5. Better waste management, restoration of contaminated waste sites, & emergency response
6. Reduce global & cross-border environmental risks
7. Expand Americans' right to know about their environment
8. Provide sound science, improve understanding of environmental risk, & increase innovation
9. Provide a credible deterrent to pollution
10. Provide effective management

Link Between EPA Goals and Individual Goals

EPA goal



Workgroup goal



Your personal goal

Expand Americans' right to know about their environment

Produce brochure on water pollution in six major U.S. rivers

Develop graphics for the brochure

Unit 3: Ten Most Frequently Asked Questions

Question 2

Notes

What is the Difference Between a Measure and a Standard?

General Performance Measures

- ✦ Quality
- ✦ Quantity
- ✦ Timeliness
- ✦ Cost effectiveness
- ✦ Manner of performance

Other Performance Measures

- ✦ Strategic effectiveness
- ✦ Productivity
- ✦ Stakeholder satisfaction
- ✦ Budget approval
- ✦ Flexibility & innovation
- ✦ Financial management

Unit 3: Ten Most Frequently Asked Questions

Notes

Each Measure Must Have a Standard

General Measure	Specific Measure	Standard
Timeliness provided	Response Time	Routinely answers provided within 3 days
Quality	Error Rate	Fewer than 2% incorrect answers
Quantity	Number of Inspections	A minimum of at least two inspections/month

Unit 3: Ten Most Frequently Asked Questions

Sample Performance Plan #1

HQ EPA Performance Plan

Name: Computer Analyst
Office: OARM/OHROS/SPPS
Year: June 1 - December 31, 1998

Element: Provide functional computer systems to employees in the department

Type of Element: Critical ☒ Additional ☐

Standards and Measurement Sources:

- Usually within two weeks of receiving the request
- As shown in the request log

Assumption (if applicable):

Element Rating: Successful ☐ Unacceptable ☐

Element: Maintain computer systems

Type of Element: Critical ☒ Additional ☐

Standards and Measurement Sources:

- Conduct computer maintenance checks on a monthly basis as outlined in the Maintenance SOPs
- Prioritize requests by order of importance as outlined in the Maintenance SOPs
- Process routine requests for computer maintenance to completion, including conducting the maintenance, within two working days
- Process high-priority requests for computer maintenance to completion, including conducting the maintenance, usually within one working day

Assumption (if applicable): All replacement parts are in inventory and adequate human resources are available to handle the number of requests received.

Element Rating: Successful ☐ Unacceptable ☐

Employee's Signature/Date (Discussion and/or approval of the performance agreement)

Supervisor(s)'s Signature/Date

Unit 3: Ten Most Frequently Asked Questions

Elements, Measures, and Source of Input for Sample Performance Plan #1

Element	General Measure	Source of Input	Specific Measure/Standard
1. Provide functional computer systems to employees in the department	Timeliness	As shown in the request log	usually within two weeks of receiving the request
2. Maintain computer systems	Timeliness	Maintenance SOPs	Conduct maintenance on a monthly basis
	Manner of Performance	Maintenance SOPs	Prioritize requests by order of importance
	Timeliness	As shown in the request log and Maintenance SOPs	Process routine requests for computer maintenance to completion, including conducting the maintenance, within two working days.
		As shown in the request log and Maintenance SOPs	Process high-priority requests for computer maintenance to completion, including conducting the maintenance, usually within one working day

Unit 3: Ten Most Frequently Asked Questions

Sample Performance Plan #2

HQ EPA Performance Plan

Name:

Office:

Year: June 1 - December 31, 1998

Element: Customer service: Provides customers with timely, accurate, and reliable information and guidance on OHROS products, programs, and services.

Type of Element: Critical ☒ Additional ☐

Standards and Measurement Sources:

- Generally meets customer information and guidance needs
- Usually communicates and exchanges information in such a way as to meet customer expectations
- Communicates effectively within and outside the organization
- From time-to-time, solicits customer feedback on information and guidance provided ☐ measurement source

Assumption (if applicable):

Element Rating: Successful ☐ Unacceptable ☐

Element: Customer service: Provides products and services that are timely and high quality.

Type of Element: Critical ☒ Additional ☐

Standards and Measurement Sources:

- Generally delivers products and services on schedule that are useful to the customer
- Typically provides service which is considered courteous and responsive to customer issues and concerns and which demonstrates a basic level of understanding of the client's program and work
- Usually deals with problems in a timely manner and acts to resolve them with tact and diplomacy
- Strives to ensure customer's input is factored into problem-solving process
- From time to time, solicits customer feedback to improve/enhance the quality of the products or services provided ☐ measurement source

Assumption (if applicable):

Element Rating: Successful ☐ Unacceptable ☐

Employee's Signature/Date (Discussion and/or approval of the performance agreement)

Supervisor(s)'s Signature/Date

Unit 3: Ten Most Frequently Asked Questions

Elements, Measures, and Source of Input for Sample Performance Plan #2

Element	General Measure	Source of Input	Specific Measure/Standard
1. Customer service: Provides customers with timely, accurate, and reliable information and guidance on OHROS products, programs, and services.	Quality	Supervisor observation of number of complaints from the customer and within the organization	<p>Generally meets customer information and guidance needs</p> <p>Usually communicates and exchanges information in such a way as to meet customer expectations</p> <p>Communicates effectively within and outside the organization</p> <p>From time-to-time, solicits customer feedback on information and guidance provided</p>
2. Customer service: Provides products and services that are timely and high quality.	<p>Timeliness</p> <p>Quality</p> <p>Timeliness and Quality</p> <p>Timeliness and Quality</p>	<p>Product delivery and service schedule</p> <p>Supervisor observation of number of complaints from the customer</p> <p>Customer survey forms</p> <p>Customer survey forms</p>	<p>Generally delivers products and services on schedule that are useful to the customer</p> <p>Typically provides service which is considered courteous and responsive to customer issues and concerns and which demonstrates a basic level of understanding of the client's program and work</p> <p>Usually deals with problems in a timely manner and acts to resolve them with tact and diplomacy</p> <p>Strives to ensure customer's input is factored into problem-solving process</p> <p>From time to time, solicits customer feedback to improve/enhance the quality of the products or services provided</p>

Unit 3: Ten Most Frequently Asked Questions

Question 3

Notes

What are Retention Standards?

Retention Standards

- ✦ Retention Standards - measures that identify the specific requirements that must be met to achieve a successful rating and, ultimately, be retained in the position.
- ✦ Absolute Retention Standards - standards that allow no room for errors.

Retention Standards

- ✦ Are reasonably attainable
- ✦ Should not be absolute
- ✦ Inform the employee of the level of performance needed to retain his or her job

Unit 3: Ten Most Frequently Asked Questions

Notes

Examples of Retention Standards

- ♦ Rather than writing:
 - Produces reports on schedule (implies always)

- ♦ Write:
 - Routinely produces reports on schedule (allows for an occasional late report)

- ♦ Or, better yet:
 - Produces at least 80% of the assigned reports on schedule (very specific)

Unit 3: Ten Most Frequently Asked Questions

Standards Checklist

Avoid Absolute Standards

An 'absolute' standard, one that allows for no errors, is acceptable only in certain circumstances. Where a single failure to meet the retention standard would result in loss of life, injury, breach of national security or great monetary loss, an agency can legitimately defend its decision to require perfection from its employees. In other circumstances, the courts will usually find that the agency abused its discretion by establishing retention standards that allow for no margin of error.

Ask yourself the following questions when writing standards. This can help you avoid writing absolute standards.

- How many times may the employee fail this requirement and still be acceptable?
- Does the standard use words such as 'all,' 'never,' and 'each'? These words do not automatically create an absolute standard, but they often alert you to problems.
- If the standard allows for no errors, would it be valid according to the criteria listed above (risk of death, etc.)?

Check Your Standards

Ask yourself the following questions to make sure your standards are effective and meet regulatory requirements. It can help you clarify your standards.

- Are the standards attainable? Are expectations reasonable?
- Are the standards challenging? Does the employee need to exert a reasonable amount of effort to reach fully successful performance level?
- Are the standards fair? Are they comparable to what is expected of employees in similar positions? Do they allow for some margin of error?
- Are the standards applicable? Can the appraiser(s) use the standards to appraise performance? Can the appraiser(s) manage the data collected through the measurement process?
- Can the elements and standards be communicated and understood? Can employees be expected to understand what is required?
- Are the standards flexible? Can they be readily adapted to changes in resources or objectives?

Unit 3: Ten Most Frequently Asked Questions

Question 4

Are there Mandatory Standards for Resource Managers?

Notes

Standards for Resource Managers

- ✦ Resource managers might have one or more critical elements with multiple standards
- ✦ When managing resources is incidental to the assignment, add a resource management standard to a critical element

Examples of Standards for Resource Managers

Critical Element: Coordinates and implements the XYZ Program

General Measure: Financial management

Specific Measure: Budget tolerances

Standard: Budget items within 5 percent of target

Unit 3: Ten Most Frequently Asked Questions

Question 5

What are Sources of Appraisal Input?

Notes

Sources of Appraisal Input

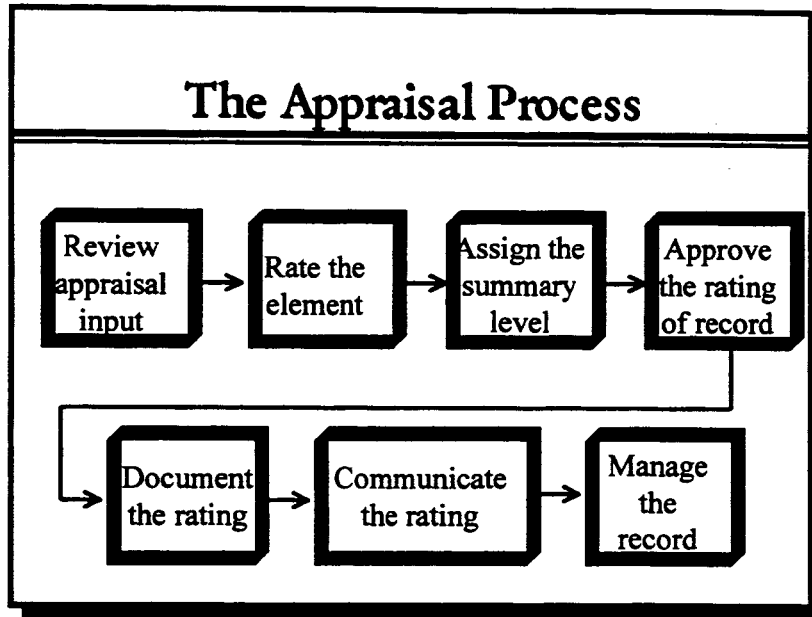
- ✦ Manual or Automated Tracking systems
- ✦ Direct observation of:
 - supervisor
 - designated rater
 - team leader
- ✦ Client/Customer feedback
- ✦ Surveys
- ✦ Audits
- ✦ Written products
- ✦ Team members

Unit 3: Ten Most Frequently Asked Questions

Question 6

What is the End-of-the-Year Appraisal Process?

Notes



Each element must be successful

Unit 3: Ten Most Frequently Asked Questions

Question 7

How Do You Develop an Individual Development Plan?

Notes

Individual Development Plans

- ✦ **Conduct self-assessment**
- ✦ **Identify opportunities and other options for career growth**

Unit 3: Ten Most Frequently Asked Questions

Question 8

What are the Performance Expectations Made by PERFORMS?

Notes

Performance Expectations

- ✦ PERFORMS heightens expectations for employee performance because coaching, feedback and recognition will increase extraordinary performance.

Performance Expectations

Supervisors should take every opportunity to:

- Communicate mission, goals and individual performance
- Encourage excellence
- Articulate and model excellence
- Ensure that employees have the knowledge and skills necessary to achieve
- Provide feedback often

Unit 3: Ten Most Frequently Asked Questions

Question 9

What Procedure is Used to Recommend an Employee for an Award?

Notes

Types of Awards

- ✦ Non-Monetary
- ✦ Monetary
- ✦ Time-Off Awards
- ✦ Quality Step Increases (QSI)

Procedures for Recommending a Monetary Award

- ✦ Complete EPA form 3130-1, Recommendation for Incentive Recognition
- ✦ Include additional narrative justification
 - describe in simple, factual terms
 - cite the Tangible or Intangible table used to determine the benefits
- ✦ Discuss with HR Officer or Local Awards Coordinator
- ✦ File copy of approved form in employee's performance file

Unit 3: Ten Most Frequently Asked Questions

Awards Form

EPA	UNITED STATES ENVIRONMENTAL PROTECTION AGENCY						
RECOMMENDATION FOR INCENTIVE RECOGNITION							
Directions: Check below as appropriate. Refer to Recognition Manual 3130 for criterion. For monetary awards, cite appropriate table, calculation of tangible benefit, and/or extent and scope of intangible benefits in written description.							
<input type="checkbox"/> "Q" Award - QUALITY ACCOMPLISHMENT RECOGNITION AWARD. The Agency's highest monetary award. Exceeds criteria for "S" Award, for exceptional and rare accomplishments. (Attach detailed description of accomplishments.)							
<input type="checkbox"/> QUALITY STEP INCREASE (QSI) - Step increase to base salary; based on high quality performance during most recent rating period of record; and, anticipated during next rating period. Employee may receive no more than one QSI in a 52 week period (Attach completed EPA Form 3130 - QSI)							
<input type="checkbox"/> "S" Award- SUPERIOR ACCOMPLISHMENT RECOGNITION AWARD - For noteworthy accomplishments including one-time acts or high quality performance. (Attach brief description of accomplishments).							
<input type="checkbox"/> On-The-Spot (OTS) - Same general criteria as "S" Award, except intended to recognize modest accomplishments quickly. Maximum cash value: \$250. (Attach brief description of accomplishments).							
<input type="checkbox"/> TIME-OFF AWARD (TO) - Award of excused absence, in increments of from 1 hour to 40 hours, for noteworthy achievements, either one-time acts or performance. (Attach description of achievement).							
<input type="checkbox"/> "T" Award - TEAM AWARD - For accomplishments by entire team, individual team members, and/or team peers on a team. (Attach brief description of achievement, as appropriate, description of individual member achievement & justification of cash amounts other equal shares). Indicate whether this is a "Q" or "S" Award.							
<input type="checkbox"/> Award to entire Team				<input type="checkbox"/> Award to Individual Team Member(s)			
INFORMATION ON RECIPIENT(S)							
NAME (For team awards attach a list showing names, SSNs, position titles, series, grade/step)				POSITION TITLE, SERIES, GRADE/STEP			
ORGANIZATION AND LOCATION							
SOCIAL SECURITY NUMBER		TIMEKEEPER NUMBER		PERSON TO RECEIVE CHECK			
PERIOD OF SERVICE ON WHICH AWARD IS BASED FROM _____ TO _____							
RECOMMENDED AMOUNT OF MONETARY AWARD (Refer to table #1, #2, or #3 in EPA 3130 Recognition Policy and Procedures Manual)							
TIME OFF		TANGIBLE		INTANGIBLE		TOTAL	
OFFICIAL	SIGNATURE			TITLE		DATE	
NOMINATING EMPLOYEE (PEER)							
RECOMMENDING OFFICIAL							
APPROVING OFFICIAL							
OBLIGATION OFFICIAL							
LINE	DCN	BUDGETIFY	APPROP. CODE	BUDGET ORG-CODE	PROGRAM ELEMENT	OBJECT CLASS	EFO
AMOUNT	DOLLARS	CENTS	SITE/PROJ	COST ORGCD	FUNDING APPROP. (%)		

Unit 3: Ten Most Frequently Asked Questions

Type of Awards

Award Type	Classification	Description
Non-Monetary	Formal Honor Award	A non-monetary award given for the recognition of employees or teams for exceptional, distinguished, or heroic individual or group achievements.
	Informal Recognition	A non-monetary award granted to an employee or team to recognize accomplishments of lesser scope than would be recognized by a formal honor award or monetary award.
Monetary	Individual/Team Awards	This award is given to recognize an employee or a team for their exceptional and rare accomplishments of extraordinary scope, impact, difficulty, and precedent. This award is intended to recognize an employee or team which displays the highest level of accomplishment that can be achieved in the Agency. The value for this award is between \$5,000 to \$10,000.
	Quality Awards (Q Award)	
	Superior Accomplishment Recognition Awards (S Award)	This award is given in recognition of a one time special act, service or achievement of a non-recurring nature, and for high quality performance of assigned duties by an employee or a team of employees. The value for this award is up to \$5,000.
	On-the-spot Awards	This award is given in recognition of a one time special act, service or achievement of a non-recurring nature, and for high quality performance of assigned duties by an employee or a team of employees. This award is limited to not more than \$250.
Quality Step Increases	(QSI) Quality Step Increases (QSIs) are additional salary step increases granted for continuing high quality performance during a rating period and for expected maintenance of high quality performance over the next rating period.	
Time-off Awards	Time-off awards or incentive awards are intended to reward one-time, non-recurring employee contributions to the quality, efficiency, effectiveness and/or economy of EPA operations. Forty hours can be given during any particular pay period and 80 hours during a leave year, unless there is approval at the AA level.	

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Peer Nomination Process

The process that allows a non-supervisory employee to nominate another non-supervisory co-worker (who has established a working relationship with the nominee) for an award -- either an informal non-monetary or a monetary award.	
Non-monetary	When a peer nominates an employee or team for a non-monetary award, it is intended to recognize accomplishments of lesser scope than would be recognized by a formal honor award or monetary award.
Monetary	Up to \$250 can be awarded by peer nomination, but there is no limitation to the total number of monetary awards that can be granted within the performance period as long as the criteria for recognition is met.

Unit 3: Ten Most Frequently Asked Questions

Guidelines for Monetary Awards Based on Tangible Benefits

Estimated First Year Benefits to Government	Amount of Award
Up to \$10,000 in benefits	10% of benefits
Between \$10,000 and \$100,000 in benefits	\$1,000, plus 3% to 10% of benefits over \$10,000
More than \$100,000 in benefits	\$3,700 to \$10,000* for the first \$100,000 in benefits plus 0.5% to 1.0% of benefits above \$100,000

*** NOTE:** For awards over \$10,000, the approval authority is the Office of Personnel Management. For Awards over \$25,000, the approval authority is the President of the United States through the Office of Personnel Management.

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Guidelines for Q Awards Based on Intangible Benefits

Value of the Benefit	Extent of Application	
	Broad	General
	<p>The contribution affects the duties, work assignments, and employees of offices or larger organization.</p> <p>A broad area of science, technology, a program, legal or environmental element that has been affected.</p>	<p>The contribution affects the duties, work assignments, and employees of multiple agencies or are Agency-wide.</p> <p>An extensive area of science, technology, a program, legal or environmental element that has been affected.</p>
<p>High Value A superior contribution to a critical or sensitive product, activity, program or service which substantially improves the effectiveness, efficiency, quality, productivity or service. A complete revision of operating principles or procedures.</p>	<p>This cell is not applicable for Suggestions, Team Award or Q-Award.</p>	<p>\$5,001 - \$6,300</p>
<p>Exceptional Value An extraordinary contribution to a highly critical or highly sensitive product, activity, program, or service which defines a new standard of excellence for effectiveness, efficiency, quality, productivity or service. Initiation of a new principle or major procedure with extensive impact.</p>	<p>\$5,001 - \$6,300</p>	<p>\$6,300 - \$10,000</p>

Unit 3: Ten Most Frequently Asked Questions

Guidelines for S Awards Based on Intangible Benefits

Value of the Benefit	Extent of Application			
	Limited	Extended	Broad	General
	<p>The contribution affects the duties, work assignments, and employees of one division or office.</p> <p>A limited area of science, technology, a program, environmental or legal element that has been affected.</p>	<p>The contribution affects the duties, work assignments, and employees of multiple divisions or offices.</p> <p>A substantial area of science, technology, a program, environmental or legal element that has been affected.</p>	<p>The contribution affects the duties, work assignments, and employees of offices or larger organization.</p> <p>A broad area of science, technology, a program, environmental or legal element that has been affected.</p>	<p>The contribution affects the duties, work assignments, and employees of multiple agencies or are Agency-wide.</p> <p>An extensive area of science, technology, a program, environmental or legal element that has been affected.</p>
<p>Moderate Value</p> <p>A limited contribution to a product, activity, program or service which improves the effectiveness, efficiency, quality, productivity, or service.</p>	\$25 - \$125	\$125 - \$325	\$325 - \$650	\$650 - \$1,300
<p>Substantial Value</p> <p>A noteworthy contribution to a product, activity, program or service which improves the effectiveness, efficiency, quality, productivity, or service.</p> <p>A revision to a major part of an operating principle or procedure.</p>	\$125 - 325	\$325 - \$600	\$650 - \$1,300	\$1,300 - \$3,100

Unit 3: Ten Most Frequently Asked Questions

Value of the Benefit	Extent of Application			
	Limited	Extended	Broad	General
	<p>The contribution affects the duties, work assignments, and employees of one division or office.</p> <p>A limited area of science, technology, a program, environmental or legal element that has been affected.</p>	<p>The contribution affects the duties, work assignments, and employees of multiple divisions or offices.</p> <p>A substantial area of science, technology, a program, environmental or legal element that has been affected.</p>	<p>The contribution affects the duties, work assignments, and employees of offices or larger organization.</p> <p>A broad area of science, technology, a program, environmental or legal element that has been affected.</p>	<p>The contribution affects the duties, work assignments, and employees of multiple agencies or are Agency-wide.</p> <p>An extensive area of science, technology, a program, environmental or legal element that has been affected.</p>
<p>High Value</p> <p>A superior contribution to a critical or sensitive product, activity, program or service which substantially improves the effectiveness, efficiency, quality, productivity or service.</p> <p>A complete revision of operating principles or procedures.</p>	\$325 - \$650	\$650 - \$1,300	\$1,300 - \$3,150	\$3,150 - \$5,000
<p>Exceptional Value</p> <p>An extraordinary contribution to a highly critical or highly sensitive product, activity, program, or service which defines a new standard of excellence for effectiveness, efficiency, quality, productivity or service.</p> <p>Initiation of a new principle or major procedure with extensive impact.</p>	\$ 650 - \$1,300	\$1,300 - \$3,150	\$3,150 - \$5,000	This cell is not applicable to the S-Award.

Unit 3: Ten Most Frequently Asked Questions

Criteria Information for Quality Step Increases

Criteria Information	Quality Step Increases
What is the purpose of Quality Step Increases?	<p>Are additional salary step increases for continuing high quality performance during a rating period and for expected maintenance of high quality performance over the next rating period.</p> <p>A QSI may be granted to an employee when: (a) the employee's most recent performance rating of record is successful and the recommending official certifies the employee's performance was at a high level of performance during the period covered by the most recent rating; and (b) the recommending official anticipates that the employee's performance during the next performance rating period will merit a successful rating, and will continue at a high level of performance.</p>
Who is eligible for these awards?	<p>May be granted to General Schedule employees who occupy permanent positions, or who are serving in a term or Temporary Appointment Pending Establishment of a Register (TAPER) position, and are paid less than the maximum rate of their grade.</p> <p>Agency employees on Intergovernmental Personnel Act assignments are not eligible for Quality Step Increases.</p>
Are there any limitations?	<p>An employee may receive only one Quality Step Increase in any 52 week period.</p>
Are there any special stipulations to these awards?	<p>Quality Step Increases are granted in conjunction with the employee's annual performance appraisal.</p> <p>Recommending official will complete EPA Form 3130-1 and Form 3130-QSI for processing.</p> <p>Approved Quality Step Increases will be effective as soon as practicable after all approvals have been received.</p>

Unit 3: Ten Most Frequently Asked Questions

Activity 3-1: Awards Nomination



Directions: Review the three scenarios of excellent employee performance. After reviewing the scenarios, determine which employees to recommend for an award and which type of award they should receive.

Refer to the reference information before this exercise in this Participant Guide. The chart, Types of Awards, may be particularly useful to you. Be specific and creative in this activity. At the end of the activity, class will discuss the recommendations.

Scenario: You are a supervisor in the Environmental Compliance division at EPA and are reviewing a number of employees in your division for awards.

Who would you nominate for an award? What type of award would you nominate them for (i.e., informal non-monetary or monetary)?

Why would you nominate the individuals you chose for awards? Why did you not nominate the others?

Unit 3: Ten Most Frequently Asked Questions

Employee Information

Employee #1: Elda Price, your office clerk, has been doing her daily tasks of filing, writing memos, scheduling your appointments, and other assorted administrative functions exceptionally well since she joined your office a year ago. Nobody ever calls with complaints about her work and you have received many comments on what a pleasure it is to deal with her.

Employee #2: Moss Green is a relatively new EPA site inspector. He has been on the job for a little over 8 months. From your discussions with his other supervisors, you find out that Mr. Green is typically the first one of his team to volunteer for new projects and take on new responsibilities. In addition, he is typically the first team member in every morning and one of the last, if not the last, to leave at the end of the day. His work has been of high quality and he has recently uncovered a number of problems at chemical plants, including waste elimination into a river and groundwater contamination.

Employee #3: Susan Sunny, is a EPA OSHA inspector. She has been on the job for five years and has regularly received praise from her supervisors. In addition, Miss Sunny initiated a community-based *Clean Up Our Streets* Program. This program has been driven by her overwhelming passion to clean up her own community in the Washington area. It has been so well received by her community that it has attracted local and national media coverage. EPA is considering making this a national program.

Unit 3: Ten Most Frequently Asked Questions

Question 10: What is the Awards Board Process?

Notes

Awards Boards Authority and Purpose

Headquarters employees covered by Awards Board are assigned to positions that are part of the bargaining unit, i.e. AFGE Local 3331 or NTEU Chapter 280.

Awards Covered Under the Awards Board Process

Agency-level awards like:

- ✦ Gold
- ✦ Silver
- ✦ Bronze
- ✦ Quality Awards (Q Award)
- ✦ Superior Accomplishment Recognition Awards (S Award)

Unit 3: Ten Most Frequently Asked Questions

Notes

Section 4 Awards Board and Awards Procedures

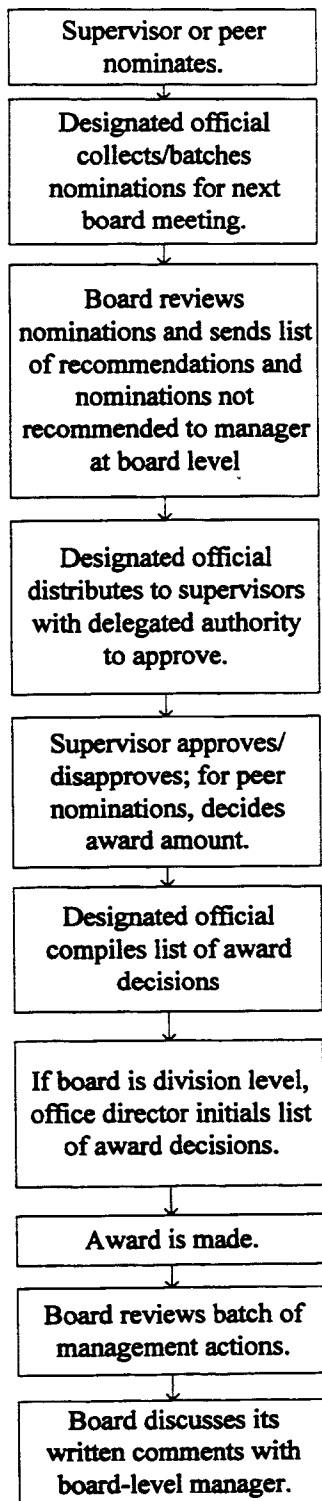
Negotiated Agreement Between:

- ✦ AFGE Local 3331
- ✦ NTEU Chapter 280
- ✦ EPA Headquarters Management

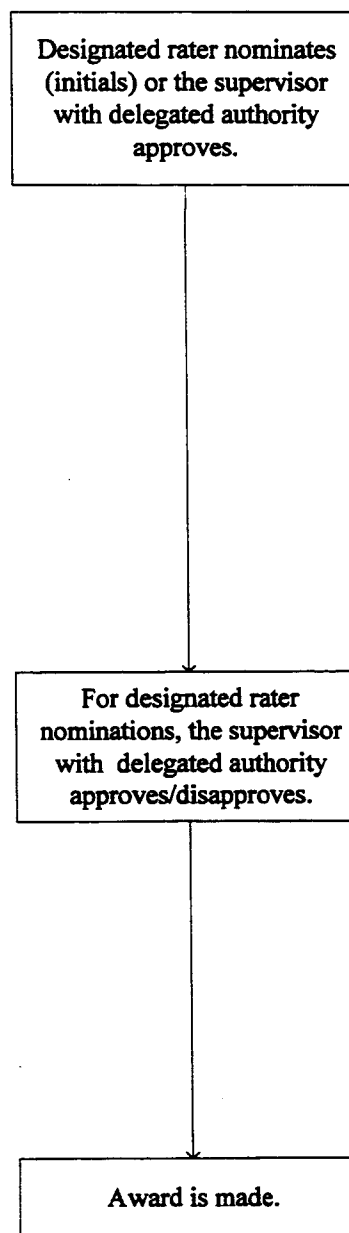
For more information, visit the EPA Intranet:
<http://intranet.epa.gov/agcyintr/ohros/awdsboard.htm>

Unit 3: Ten Most Frequently Asked Questions

The Award Board Process



The Non-Awards Board Process



Unit 3: Performance Appraisal & Development

Unit Summary

Notes

Scope

Review of course
topics, development
of action plan,
evaluation of course.

PERFORMS

Summary and Evaluation

Topic 1: Course Review

Notes

PERFORMS Training

Summary and Evaluation

U.S. Environmental Protection Agency

Key Resources

- ✦ Intranet.epa.gov/agcyintr/ohros
- ✦ HQ PERFORMS Supplemental Guidance
- ✦ Your HR Office
- ✦ Your union agreements
- ✦ HQ Briefing
- ✦ Developing Your Strengths Workbook