

Performance Planning, Employee Rating, Feedback, Opportunity & Recognition Management System

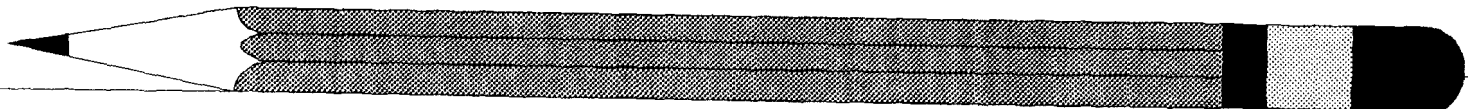
# PERFORMS

Headquarters Briefings  
for  
Managers and Employees

March 3rd-16th, 1998

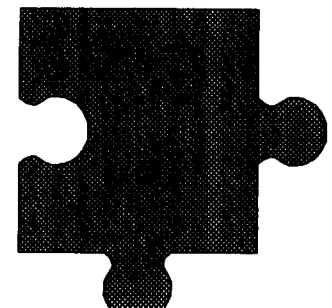
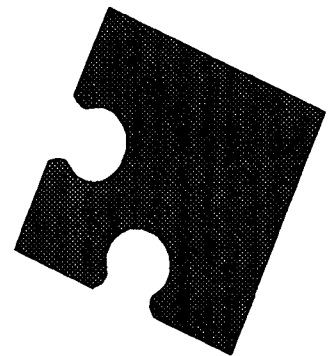
## **Today's briefing will cover:**

- What is PERFORMS?
- Why did we change to PERFORMS?
- Principles & Objectives
- PERFORMS' key features
- Five phases of PERFORMS
  - ▶ Planning Performance
  - ▶ Performance Monitoring
  - ▶ Developing Performance
  - ▶ Appraising Performance
  - ▶ Recognizing Performance



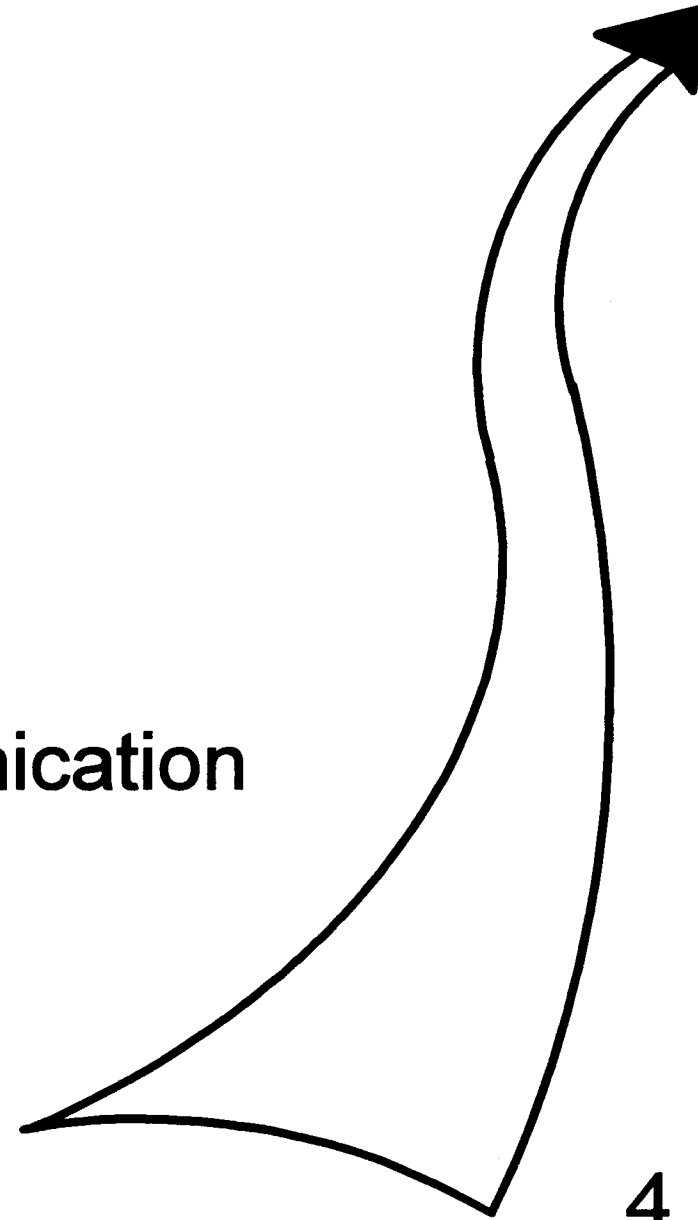
# **WHAT IS PERFORMS?**

- Name for EPA's new performance management system
- Difference in design
- Distinctions between system and program



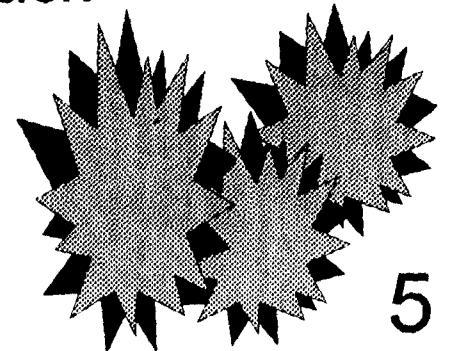
# Principles

- Simplicity
- Streamlining
- Frequent, meaningful communication

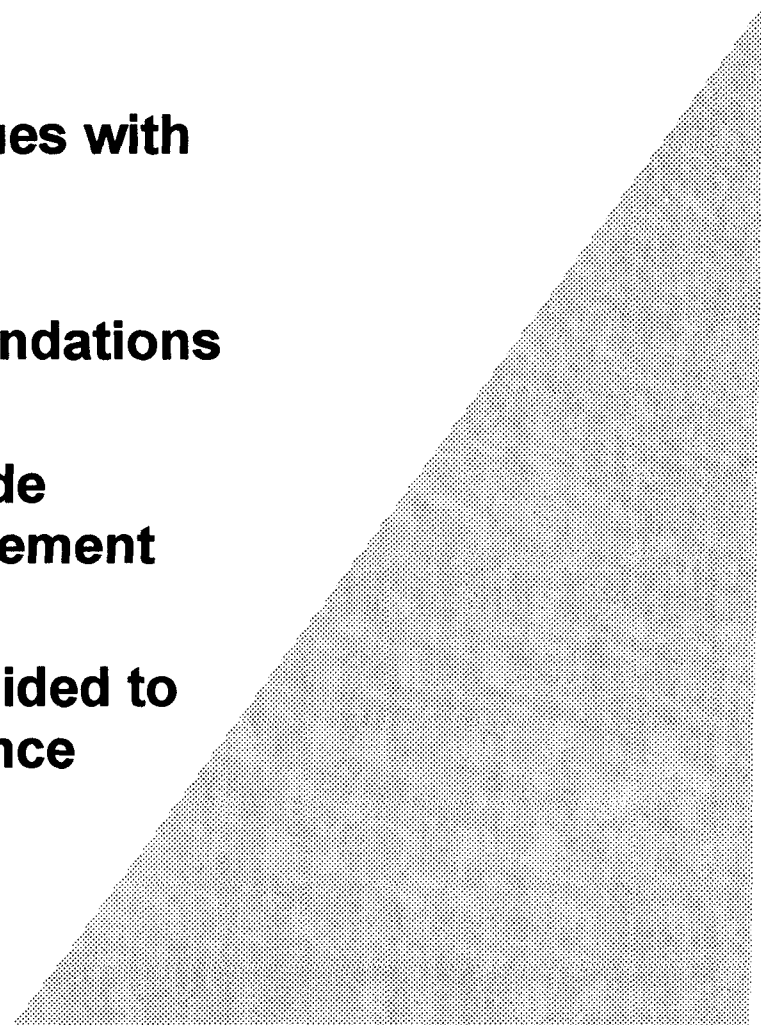


# Objectives

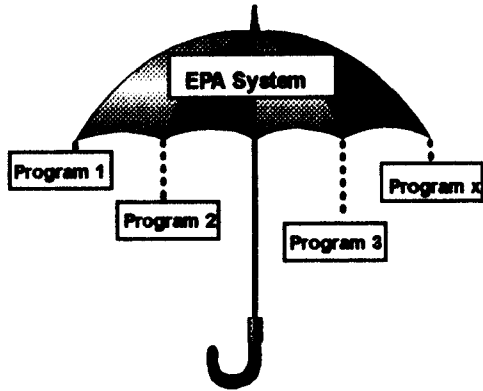
- Support the strategic plan, mission, & organizational goals
- Integrate individual, team, & organizational performance/results
- Promote good performance & correct undesirable performance
- Foster a motivated, trained, equipped workforce
- Accept system as useful, meaningful & fair
- Improved performance through continuous feedback



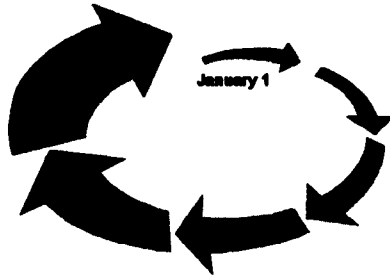
# **Why Did We Change to PERFORMS?**

- 1. New OPM Regulation issued September 1995 gave room for more flexibility**
  - 2. Managers & employees had issues with current system**
  - 3. NPR and Reinvention Recommendations**
  - 4. Agency Steering Committee made recommendations to senior management**
  - 5. Agency's Senior Leadership decided to move from 5-tier to 2-tier performance management system**
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# KEY PERFORMS SYSTEM FEATURES

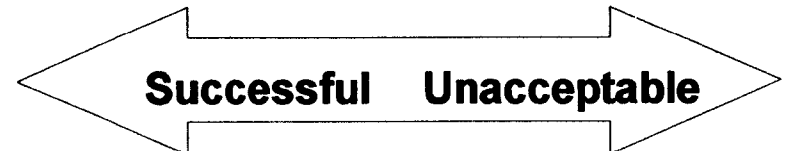


**An Agency-wide performance system covering all EPA employees**



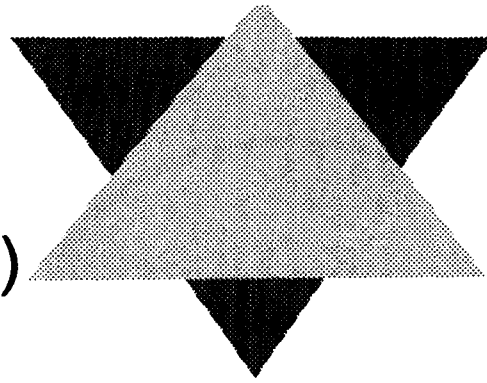
**A one year appraisal period from January 1 to December 31**

**An Agency-standard  
summary-level pattern with two levels**



**De-linkage of cash performance awards from ratings of record**





**BEFORE (CURRENT)**

**AFTER(PERFORMS)**

**5 levels**

- Outstanding
- Exceeds Expectations
- Fully Successful
- Minimally Satisfactory
- Unacceptable

**One year appraisal period**  
Oct - Sept

**Awards program**--annual awards  
tied to ratings

● **2 levels**

- Successful

--Unacceptable

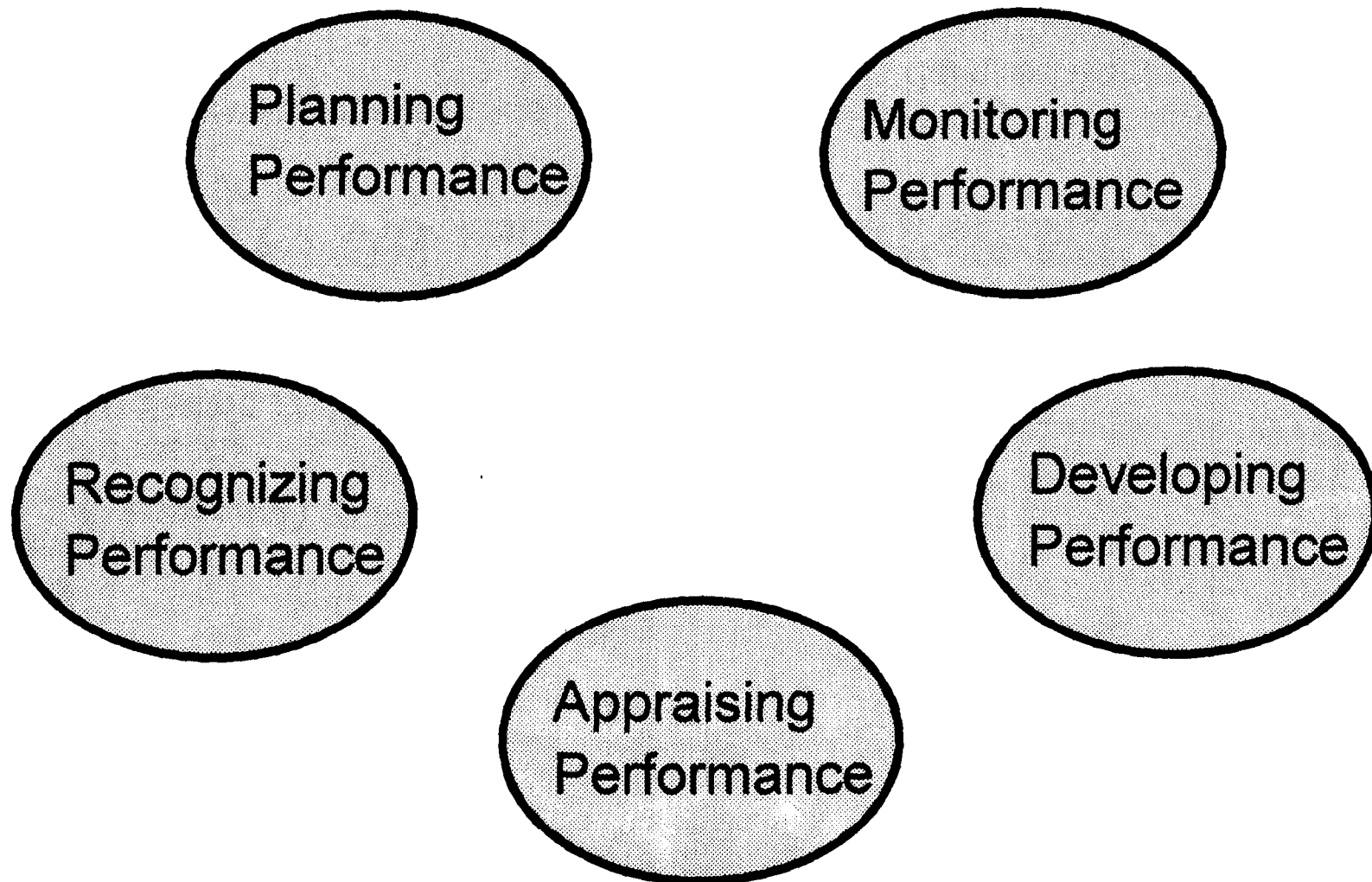
● **One year appraisal period**  
Jan - Dec

● **Awards program**--cash performance  
awards delinked from performance ratings.  
Awards throughout the year--tied to  
performance but not ratings



# ***Five Phases of PERFORMS -- Equal Emphasis on Each Phase***

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# Planning Performance

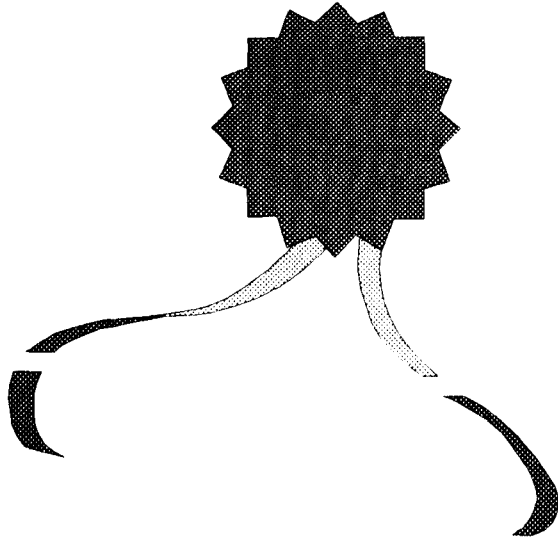
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- Link organizational goals to individual performance agreements
- Types of Elements
  - critical
  - additional
- Write measurable standards at the successful level

# Developing & Assisting Performance

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- Formal Training
- On-the-Job Training
- Coaching
- Mentoring
- Work & Developmental Assignments
- Work Process Improvements
- Performance Assistance
- 360 Degree Feedback



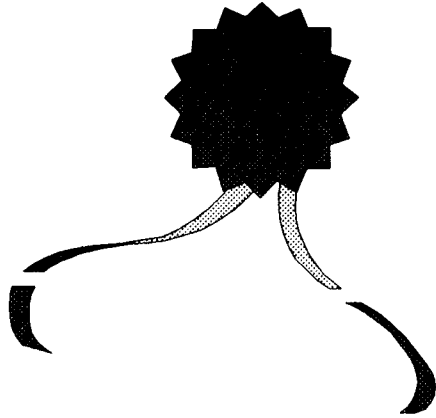
# Recognition Program

- Why Change? Cash awards for performance have been "de-linked" from performance ratings
- Change What? The process for giving cash awards
- How? The Special Act and Sustained Superior Performance awards have been replaced by the S-Award and Q-Award

## Award Types

<b>OLD</b>	<b>NEW</b>
Sustained Superior Special Act	Q-Award S-Award*
On-the-Spot	On-the-Spot
Time-off	Time-off
Group Award	Team Award
QSI	QSI
Formal Non-Monetary	Formal Non-Monetary
Informal Non-Monetary	New Emphasis
	Peer Nomination* (a process)

\*New Award Types



# Recognition Program

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## What Next?

- Transition to the new recognition program
- More information about the new recognition program



## POTENTIAL RIF CONSIDERATIONS



- Final Government-wide RIF Regulations Published December 24, 1997
- Gives agencies a mechanism to take into account ratings given under different rating patterns

## Headquarters Implementation & Next Steps

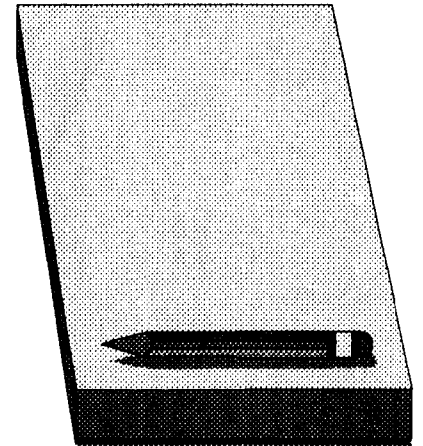
You are Here





# **PERFORMS Performance Plans**

## **How to Get Started Using Current Agreement**



- Identify from 1 to 5 critical elements
  - Choose elements that
    - represent the essence of your work
    - must, must, must be performed successfully
  - All other current elements should either be "additional" or dropped
- Choose standards that are essential and measurable
  - Write standards at the successful level
  - For each standard, list measurement sources and also assumptions, if desired

## **Converting Current Performance Agreements To PERFORMS Performance Plans**

As part of a phased process, an initial performance plan for 1998 can be developed using the current performance agreement and the following two steps. Formal training in developing measures and standards under PERFORMS will be available from mid-April through September. Performance plans are “living” documents; the formal training will help you to refine your initial measures and standards and begin tying them to the Agency’s strategic plan.

### **1. Identify from one to five critical elements.**

- ☐ From your current performance agreement, select those elements that
  - represent the essence of your work and
  - must be performed successfully.
- ☐ All other elements from your current performance agreement should either be reclassified as additional elements or dropped. (Additional elements do not count towards your rating.)

### **2. Write standards at the successful level.**

- ☐ Choose from the current “fully successful” standards only those that are essential and measurable and adjust them, as needed, to the “successful” level of performance. Discard any standards above fully successful. The point of standards under PERFORMS is to draw a bright line between successful and unacceptable performance, not to describe gradations of superior performance. *(Remember that the successful rating includes what used to be outstanding, exceeds expectations, fully successful, and minimally satisfactory.)* In some cases, writing standards at the unacceptable level, as well, will help to clarify the distinction between successful and unacceptable.
- ☐ For each standard,
  - identify measurement sources, for example, supervisory observation or a laboratory result, and
  - list assumptions if desired. While it is a given that employees cannot be held accountable for events outside their control, some may feel more comfortable documenting assumptions regarding their standards.

You may want to reference the attached sample elements and standards, which are provided by OPM. Also attached are the formats of the performance plan and the appraisal cover sheet.

*(These sample standards and measures are courtesy of the Office of Personnel Management (OPM)).*

### **Policy Processing Clerk**

<b>Element (Accomplishment)</b>	<b>Successful Standard</b>
<b>Completed Audits</b>	<ul style="list-style-type: none"> <li>· No more than 5 errors per month are found on audits.</li> <li>· At least 10 weeks per year where no audits are more than 30 days old.</li> </ul>
<b>Quotes and Proposals</b>	<ul style="list-style-type: none"> <li>· No more than 5 quotes and proposals per month are found to be inaccurate at issuing.</li> <li>· No more than 5 quotes per month are processed in more than 5 days.</li> <li>· No more than 5 proposals per month are processed in more than 24 hours.</li> </ul>
<b>Solutions to Problems</b>	<ul style="list-style-type: none"> <li>· No more than 2 times per quarter are incorrect results or procedures spotted by the supervisor or other team members.</li> <li>· No more than 2 times per quarter are problems corrected in more than 3 business days.</li> </ul>
<b>Finished Policies</b>	<ul style="list-style-type: none"> <li>· No more than 5 errors per month are spotted by team members.</li> <li>· No more than 5 times per month when someone can't do the next step on a policy due to illegibility, incompleteness, or vagueness in the file.</li> <li>· No more than 3 times per month someone on the team gets a second call for the same issue/problem.</li> <li>· At least 10 weeks per year there are no changes more than 30 days old.</li> <li>· At least 5 weeks per year where there is no new business more than 10 days old.</li> </ul>
<b>Answers to Questions</b>	<ul style="list-style-type: none"> <li>· 80% of customers say:               <ul style="list-style-type: none"> <li>--The technician stops what (s)he's doing and immediately tries to answer the question.</li> <li>--They don't find out later that the answer is wrong.</li> <li>--If the technician doesn't know the answer, (s)he either researches the solutions or directs the person to the correct source.</li> </ul> </li> </ul>

## Research Chemist

Element (Accomplishment)	Successful Standard
Analytical results and specifications	<p>The Research Manager is satisfied that:</p> <ul style="list-style-type: none"><li>• The method measures the appropriate variable.</li><li>• The results are relevant.</li><li>• The method is scientifically sound.</li><li>• There is a well-written protocol.</li><li>• The method is accurate, precise, reproducible, fast, and cost-effective.</li></ul> <p>The customer is satisfied that:</p> <ul style="list-style-type: none"><li>• They can understand and observe the results.</li><li>• The cost is within their budget.</li><li>• The information gives understandable answers to their questions.</li></ul>
Solved customer problems	<p>The Research Manager is satisfied that:</p> <ul style="list-style-type: none"><li>• Reports and solutions address the question that was asked.</li><li>• The assumptions or hypotheses are based on scientific principles.</li><li>• The proposed solutions, suggestions and/or recommendations are understandable.</li><li>• The recommendations were provided within the agreed-upon time frame.</li></ul> <p>The customer is satisfied that:</p> <ul style="list-style-type: none"><li>• The report and any answers to questions address the question that was asked.</li><li>• The proposed solutions, suggestions, and/or recommendations are understandable.</li><li>• The proposed recommendations were provided within the agreed-upon time frame.</li><li>• The solutions work.</li><li>• The information gives understandable answers to their questions.</li><li>• They are able to implement the recommendations.</li></ul>

## Engineer

Element (Accomplishment)	Successful Standard
Designs for capital improvements and operations changes	<p>The supervisor is satisfied that:</p> <ul style="list-style-type: none"><li>· The cost estimate is sufficiently itemized.</li><li>· There is backup documentation for all cost estimates.</li><li>· There is consistency across design documents.</li><li>· The design looks like it will solve the problem or meet the need.</li><li>· The design doesn't cause new problems while solving the original problem.</li></ul> <p>In addition:</p> <ul style="list-style-type: none"><li>· There is no more than 3% cost overruns due to inaccurate quantities.</li><li>· The design is completed by the agreed-upon deadline.</li></ul>
Budget management	<ul style="list-style-type: none"><li>· The budget report is submitted by the fifteenth day of the month.</li><li>· The engineer is able to answer questions about project financial status at any time.</li></ul>
Completed projects	<p>The supervisor is satisfied that:</p> <ul style="list-style-type: none"><li>· The project is constructed according to the design.</li><li>· Unexpected conditions are successfully worked around.</li><li>· Recommendations are made by agreed-upon deadline.</li><li>· The contract cost is within a plus or minus 5%.</li></ul>

**Program Analyst (Budget)**

Element (Accomplishment)	Successful Standard
Business decision recommendations, including budget analysis and cost information/analysis	<p>The supervisor is satisfied that:</p> <ul style="list-style-type: none"><li>• Cost impacts surrounding the decision have been identified and evaluated.</li><li>• The numbers are accurate and do not require second guessing or rework.</li><li>• Reports/analyses logically state the issues and reach conclusions that are supported by the data and analyses.</li><li>• The analysis is useful and answers the questions asked.</li><li>• The analysis/information was provided by the agreed-upon deadline.</li></ul>
Financial systems improved	<p>The supervisor as well as the users of the system are satisfied that:</p> <ul style="list-style-type: none"><li>• The system change is within the scope of control</li><li>• The change provides information in a more efficient, accurate, and useful manner than previously.</li><li>• The time required to implement the changes meets the customer's needs and deadlines.</li><li>• The value of the improvement exceeds the cost of the implementation.</li></ul>
Budget process evaluation and analysis	<p>The supervisor is satisfied that:</p> <ul style="list-style-type: none"><li>• The reports/analyses logically state the issues and reach conclusions that are supported by the data and analyses.</li><li>• The evaluations address all issues and cost impacts.</li></ul>

## HQ EPA Performance Plan

Name:

Office:

Year:

Element:

Type Element: Critical ☐ Additional ☐

Standards and Measurement Sources:

Assumption (if applicable):

Element Rating: Successful ☐ Unacceptable ☐

Element:

Type Element: Critical ☐ Additional ☐

Standards and Measurement Sources:

Assumption (if applicable):

Element Rating: Successful ☐ Unacceptable ☐

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

Supervisor(s)'s Signature/Date:

