

Driving Organizational Results



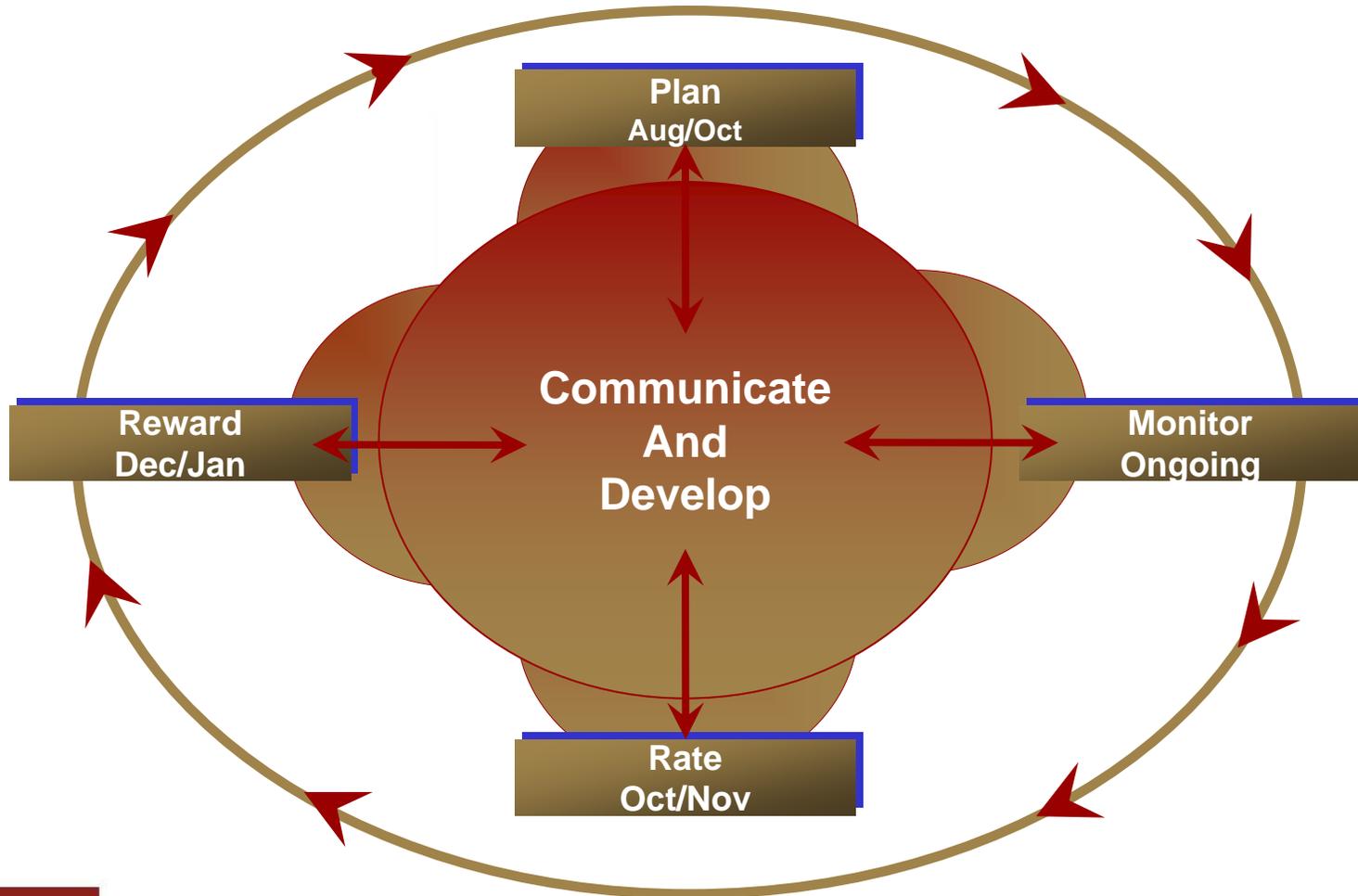
Module **2**

Getting Started

Department of Defense
Executive Performance Workshops

- You learn
 - How to establish a Performance Plan
 - Discussing expectations with your Rating Official
 - Aligning your work
 - Using appropriate Performance Elements
 - Establishing Performance Requirements
 - ❖ SMART-Q Framework
 - **Important Note:**
 - If you are unfamiliar with DoD's performance management system or want an overview of key requirements, please review Module 1 – This module assumes that you are familiar with key concepts

Performance Management Cycle At a Glance



- The performance cycle is October 1 through September 30
- You must be on an approved plan 30 days after cycle begins
- You must be on an approved plan for 90 days to be rated
- Your supervisor and you must establish your plan together

- Obtain copies of the foundational documents that serve as “building blocks” for developing Performance Plans
 - Strategic Plans, Organizational Plans, Organizational Priorities
 - Annual DoD Organizational Priorities
 - DoD Organizational Assessments (published annually)
 - Component Organizational Assessments, as applicable (published annually)
 - Rater’s performance expectations and requirements of you

- Meet with your Rating Official to discuss
 - Major work that needs to be accomplished
 - Linkage to organizational goals
 - Expectations of performance
- Take a look at the seven Performance Elements
 - Determine which three are required
 - Suggest others that you feel are appropriate (not necessary)
 - Read the descriptions so you are clear on what is expected
- Identify Performance Requirements
 - Typically one to four for each Performance Element
 - Typically written using the SMART-Q format

- Performance Elements are the ***critical*** components of an executive's or senior professional's work that contribute to organizational goals and results
- Unsatisfactory performance in ***any one*** of the Performance Elements results in an executive's overall job performance rating as unsatisfactory
- Performance Elements are defined by standardized benchmark descriptors
 - Included as a resource at the end of this module
- There are seven Performance Elements...three are mandatory

Performance Element	Mandatory Application	Mandatory Weight
Leadership/Supervision	SES, SP as applicable	
Contribution to Mission Accomplishment	SES, SP	60%
Customer Care	SES	
Communications		
Cooperation/Teamwork		
Resource Management		
Technical Competence/Problem Solving	SP	

- The remaining four Performance Elements may be
 - Used as stand alone Performance Elements or
 - Embedded into one or all of the three mandatory Performance Elements

- All Performance Elements included in your plan are critical
- Performance Elements must be weighted
- Contribution to Mission Performance Element comprises 60% of your plan
- The sum of the weights for all Performance Elements used must equal 100 percent

Your Take Away

*Make the Contribution to Mission
Accomplishment Element compliant –
it is critical to your success*

- Each Performance Element has Performance Requirements
- Typically between **one** and **four** Performance Requirements are used for each Performance Element
- Performance Requirements
 - Are written in the SMART-Q framework
 - Must describe a requirement/outcome that is of sufficient depth and complexity to reflect the high-level work of an Executive or Senior Professional
 - Must be written at “Achieved Expectations”
 - Allow for meaningful distinctions in performance to be made

These are the performance standards against which your performance is appraised

- SMART-Q Performance Requirements
 - Apply to your areas of responsibility
 - Are linked with strategic plans and Department/Component initiatives
 - Reflect expected agency or organizational performance
 - Clearly describe performance that is measurable or verifiable and focused on tangible outputs, outcomes, milestones
 - Include balanced measures reflecting perspectives of distinct groups including customers and employees

- An important consideration
 - All Performance Requirements must be results-oriented
 - Some Performance Requirements require a competency-based outcomes
 - If this is the case, at least 60 percent of the other Performance Requirements must be results-oriented and in the SMART-Q format

Critical Point

The Mission Accomplishment Performance Element must contain only measurable results-oriented Performance Requirements

- For supervisory positions
 - Two mandatory Performance Requirements as part of the Leadership/Supervision Performance Element
 - Subordinate employee Performance Plans must be
 - ❖ Aligned with organizational goals
 - ❖ Rigorously and realistically appraised against clear and measurable performance standards
 - ❖ Employee and customer views are considered in achieving organizational results
 - Executive achieves results in promoting equal employment opportunity, affirmative action, and diversity

- Performance Requirements must meet six criteria
 - Accountability
 - Alignment
 - Balanced measures
 - Consultation
 - Diversity
 - Measurable results

What this really means...

- Your Performance Requirements must address:
 - Accountability Criteria (SES Only) – Accountability for subordinate performance management
 - Must specifically have a statement that holds executives accountable for subordinate performance
 - Ensuring that subordinate performance plans are aligned to organizational goals
 - Appraising subordinates against clear, measurable standards of performance
 - Must be SMART-Q written at Level 3 – “Achieved Results”
 - Include Leadership/Supervision Performance Element

- Your Performance Requirements must address:
 - Alignment Criteria – Performance plan must
 - Link to organizational goals
 - ❖ Strategic Plans
 - ❖ Annual performance plans or
 - ❖ Other organizational planning or budget documents
 - Each Requirement must
 - Cite the actual plan and/or goal
 - The citation may be abbreviated , e.g., (Goal 1.1 of CPP Strategic Plan)
 - The referenced plan must be available, upon request, to submit to DoD as part of the evidence required for OPM certification

- Your Performance Requirements must address:
 - Balanced Measures Criteria – Measures or indicators of the collection and uses of employee and customer/ stakeholder feedback
 - Must include employee and customer/stakeholder feedback was solicited and used in achieving a performance result
 - Must be SMART-Q written at Level 3 – “Achieving Expectations”
 - Include in any one of the Performance Elements, e.g., Contribution to Mission Accomplishment or Customer Care

OPM Certification Criteria – Consultation and Diversity

- Your Performance Requirements must address:
 - Consultation Criteria – Requirement to involve the executive and rater in developing Performance Requirements
 - Executives and Raters must co develop the Performance Requirements
 - Signature of the Executive and Rater is required in Part B-1 of the Executive Performance Appraisal Form
 - Diversity Criteria – DoD Requirement
 - Performance plans must have a Performance Requirement that holds executives accountable for achieving results in promoting diversity in the workforce and furthering equal employment opportunity in the workplace

- Your Performance Requirements must address:
 - Measurable Results Criteria– Output or outcome that includes observable and or verifiable results in terms of quality, quantity, timeliness, and or cost effectiveness
 - All Performance Requirements under Contribution to Mission Accomplishment must be results-driven (SMART-Q)
 - Measures can include
 - ❖ Efficiency or accuracy rates,
 - ❖ Improvement from survey results
 - ❖ Acceptance of articles by jury journals
 - ❖ Presidential Management Agenda metrics or other program metrics
 - ❖ Attributes of value, thoroughness, excellence of an effort, or result

- Now that you understand the key components of your Performance Plan, you are ready to start writing

Let's learn about the SMART-Q Framework...

- Elements of the SMART-Q Framework
 - **S**pecific
 - **M**easured
 - **A**ligned
 - **R**ealistic
 - **T**imeframe
 - **Q**uality

- **Specific**
 - Clear, concise statement of what is being measured
 - Observable outcome or achievement
- **Ask yourself**
 - What am I responsible for accomplishing?
 - What will be achieved?
 - What is the expected result and outcome?
 - How will this drive organizational success?

- **Measurable**
 - Result is observable or verifiable
 - A method, procedure or standard exists to assess and record the result of the requirement
- **Ask yourself**
 - How will I know I achieved the result at the “Achieved Expectations” level, at a minimum?
 - Is the requirement a “big rock” that describes your work as an executive?
 - Is the requirement simply a statement of activity versus outcomes/results to evoke a meaningful distinction in performance?

- ✓ **Tip:** Measures allow for meaningful distinctions in performance
 - Yes or No responses to a Performance Requirement may be an indication that the Performance Requirement cannot make a meaningful distinction in performance

Example: A Performance Requirement that states: “Write a DoD Instruction by January 2008” uses time as the measure. However, meeting or “beating” the clock may be insufficient to determine a level 3, 4 or 5 rating on the Performance Element. Other indicators, such a quality measure, can be used to help make meaningful distinctions in performance.

- **Aligned**
 - A clear, direct connection exists between my requirements and the DoD Organizational Priorities, Component Strategic Plans, and or other organizational strategic goals
- **Ask yourself**
 - Does this requirement support the DoD Organizational or Component, and or organizational goals?
 - If this requirement is not met, what is the impact to the organization?
 - What specific goal/priority does the performance requirement meet?

- **Realistic**
 - The outcome must be achievable with the resources and personnel available
 - The result is within your control and responsibility
- **Ask yourself**
 - Do I need to plan on additional resources to meet this requirement?
 - Is this a realistic goal given the organization’s mission?
 - Is the achievement of this goal under my control?

- **Timed**
 - Timeframe needed to complete the requirement is identified within the period of performance
- **Ask yourself**
 - Have I included a realistic timeframe for all variables identified at this time?
 - Have I included time to resolve potential obstacles?
 - Did I specify when the outcomes will be achieved?
 - Do I need to break the project into milestones to identify an appropriate timeframe?

- **Quality**
 - Assesses how well you completed the requirement
- **Ask yourself**
 - How do I know how well I completed the work?
 - Is there a governing body that can identify the quality of my work?
 - Are there functional experts that can attest to the quality of my results?

Sample Requirement

S Improve the delivery of HR policy advice and guidance to customers worldwide, including in deployed locations, by developing a variety of useful resources that are robust and easily accessible by Q2 as measured by supervisor, stakeholder, and customer feedback. (Strategic Goal 4.2)

Q **M** **A** **T** **R**

What's included:

- ✓ *Strategic Alignment*
- ✓ *Consultation*
- ✓ *Balanced Measures*

Tip Sheet – Creating Your Performance Requirements

Checklist...

- ✓ SMART-Q?
- ✓ Accountability?
- ✓ Strategic Alignment?
- ✓ Balanced Measures?
- ✓ Consultation?
- ✓ Diversity Result?
- ✓ Measurable Results?

- When you have a some time, reserve 30 to 45 minutes to write one or two Performance Requirements
- When you are done, ask yourself:
 - What was easy?
 - What helped?
 - What are the lessons learned?
 - What additional support do you need?

Sharing Your Draft with Your Rating Official

- Once you have completed drafting your Performance Plan, share it with your Rating Official and set up time to discuss
 - If possible, have the meeting in person
 - Set aside sufficient time
 - Recognize it is an iterative process – more than likely expectations will be reframed and parts of your plan refocused
 - Discuss and share your plan as many times as necessary to ensure your Rating Official and you have a shared understanding of expectations and performance
- When ready, finalize your plan

- SES Website (Includes SC 920)
 - www.cpms.osd.mil/sespm
- Executive Performance in the 21st Century: A Guide to Driving Organizational Results
- Executive Management Development Office
- 5 U.S.C. 43
- OPM Certification
 - <http://www.opm.gov/ses/certification.asp>