Slide 1

Slide 2

NEW BEGINNINGS
SERVICE
Pride
readiness
WORKFORCE PLANNING
NEW
Ownership
Leadership
hiring
BEGINNINGS
Supervisor Performance
communication
Guides
FOCUS
EXCELLENCE
accountability
MENTORING
tools
mission
Teamwork
PERFORMANCE
Commitment
training
Rewards
IT'S NOT ABOUT THE 365 TH DAY
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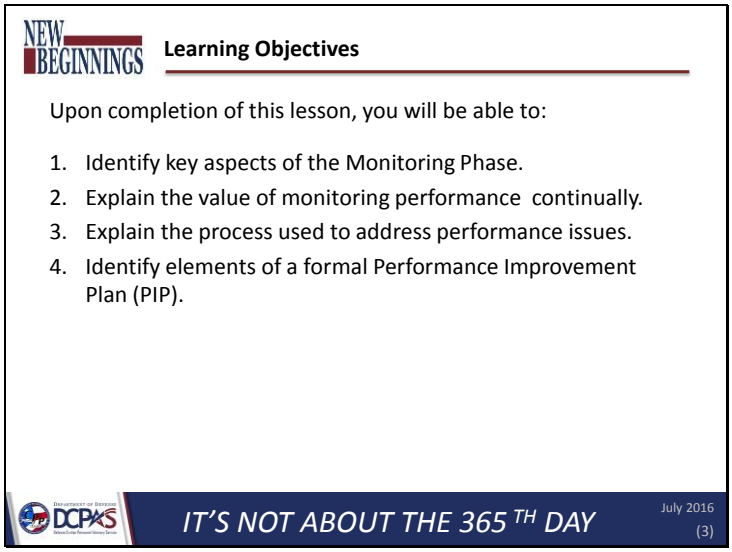
Slide 3


NEW BEGINNINGS
Learning Objectives
Upon completion of this lesson, you will be able to:
1. Identify key aspects of the Monitoring Phase.
2. Explain the value of monitoring performance continually.
3. Explain the process used to address performance issues.
4. Identify elements of a formal Performance Improvement Plan (PIP).
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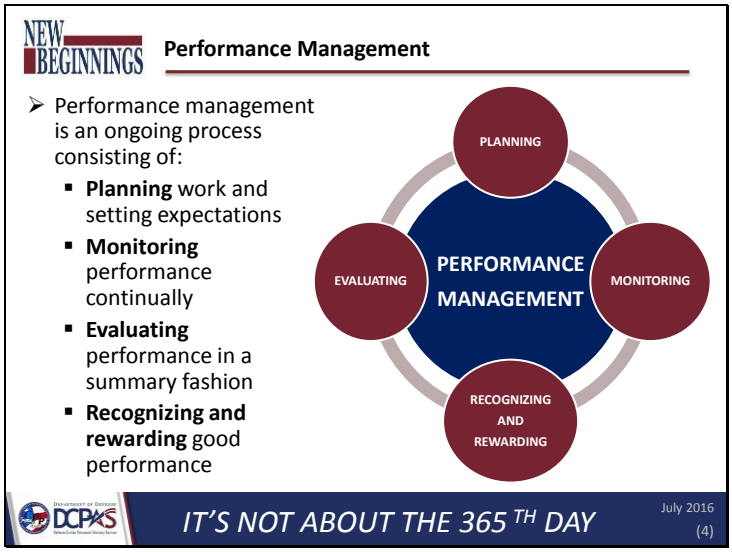
Slide 4


NEW BEGINNINGS
Performance Management
Performance management is an ongoing process consisting of:
Planning work and setting expectations
Monitoring performance continually
Evaluating performance in a summary fashion
Recognizing and rewarding good performance
PLANNING
EVALUATING
PERFORMANCE MANAGEMENT
MONITORING
RECOGNIZING AND REWARDING
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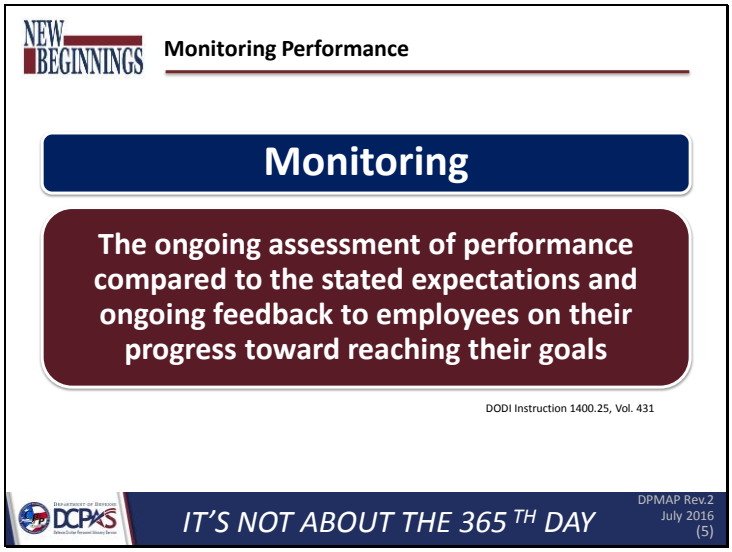
Slide 5


NEW BEGINNINGS
Monitoring Performance
Monitoring
The ongoing assessment of performance compared to the stated expectations and ongoing feedback to employees on their progress toward reaching their goals
DODI Instruction 1400.25, Vol. 431
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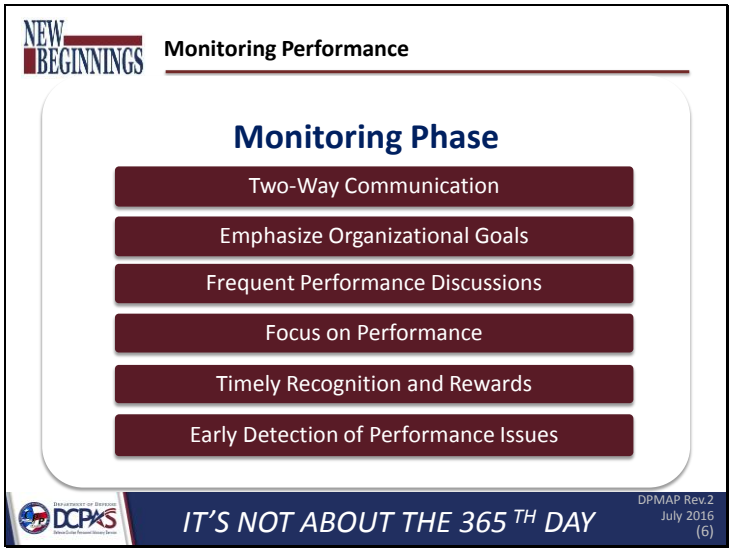
Slide 6


NEW BEGINNINGS
Monitoring Performance
Monitoring Phase
Two-Way Communication
Emphasize Organizational Goals
Frequent Performance Discussions
Focus on Performance
Timely Recognition and Rewards
Early Detection of Performance Issues
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NEW BEGINNINGS
Monitoring Phase Roles and Responsibilities
Supervisors
✓ Continuously communicate; provide encouragement, meaningful feedback, and recognize accomplishments
✓ Provide employees an opportunity to highlight their successes relative to the performance elements and standards
✓ Identify needed changes to performance elements as appropriate
✓ Review IDPs to identify development opportunities
✓ Identify employee's skills and abilities, and look for opportunities to further develop them
✓ Document performance discussions
✓ Recognize and reward performance throughout the performance appraisal cycle
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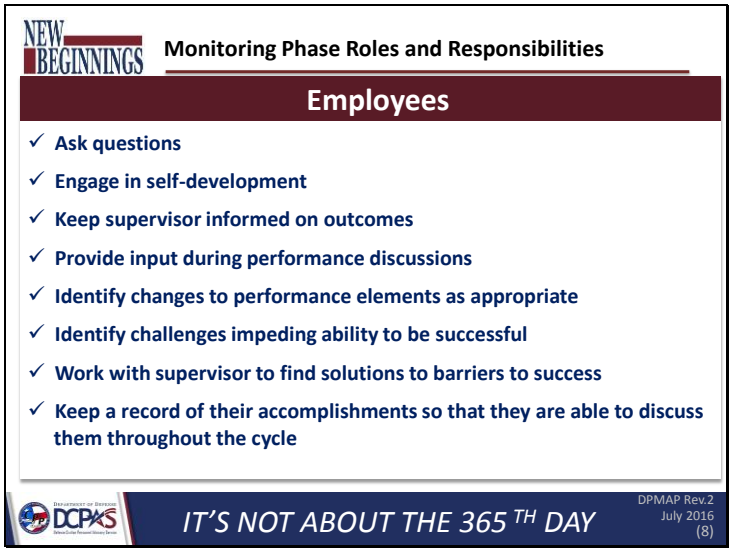
NEW BEGINNINGS
Monitoring Phase Roles and Responsibilities
Employees
✓ Ask questions
✓ Engage in self-development
✓ Keep supervisor informed on outcomes
✓ Provide input during performance discussions
✓ Identify changes to performance elements as appropriate
✓ Identify challenges impeding ability to be successful
✓ Work with supervisor to find solutions to barriers to success
✓ Keep a record of their accomplishments so that they are able to discuss them throughout the cycle
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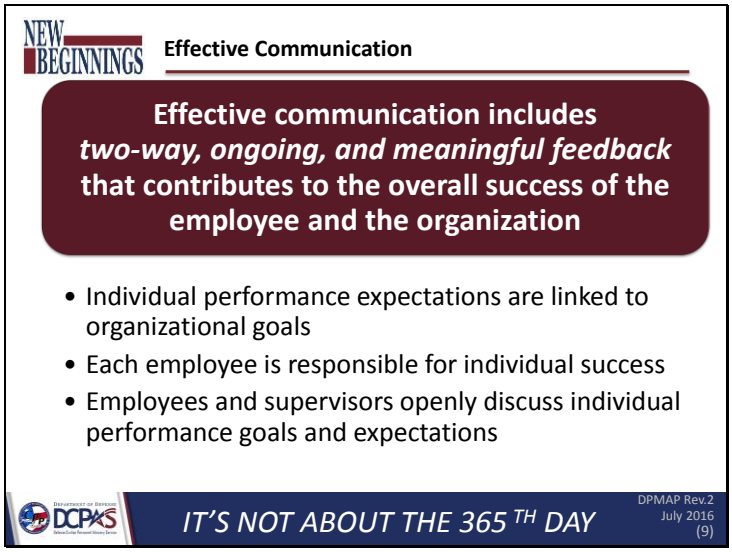
NEW BEGINNINGS
Effective Communication
Effective communication includes
two-way, ongoing, and meaningful feedback
that contributes to the overall success of the
employee and the organization
• Individual performance expectations are linked to organizational goals
• Each employee is responsible for individual success
• Employees and supervisors openly discuss individual performance goals and expectations
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NEW BEGINNINGS
Elements of Effective Communication
What are the elements of effective communication between supervisors and employees?
Continuous, meaningful feedback on employees' strengths and areas for improvement
Guidance on employees' projects and responsibilities
Active listening
Expanded perspective for supervisor
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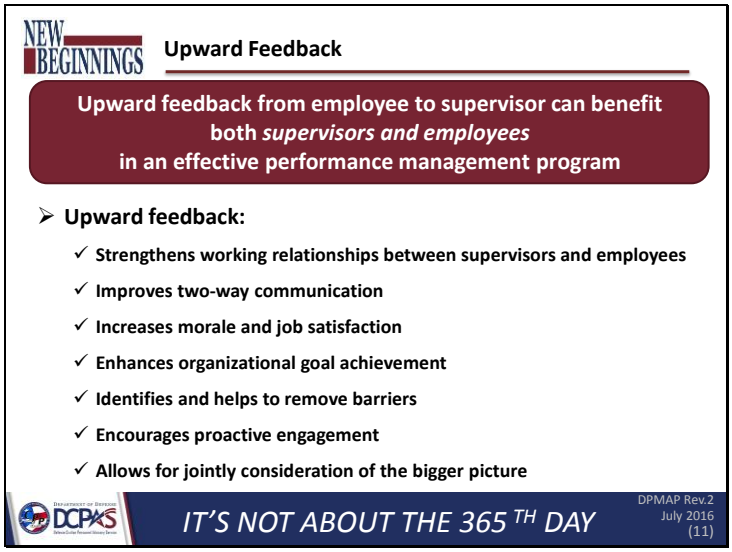
NEW BEGINNINGS
Upward Feedback
Upward feedback from employee to supervisor can benefit both *supervisors and employees* in an effective performance management program
Upward feedback:
✓ Strengthens working relationships between supervisors and employees
✓ Improves two-way communication
✓ Increases morale and job satisfaction
✓ Enhances organizational goal achievement
✓ Identifies and helps to remove barriers
✓ Encourages proactive engagement
✓ Allows for jointly consideration of the bigger picture
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NEW BEGINNINGS
Discussion: Benefits of Continuous Performance Conversations
What are the benefits of having continuous performance discussions?
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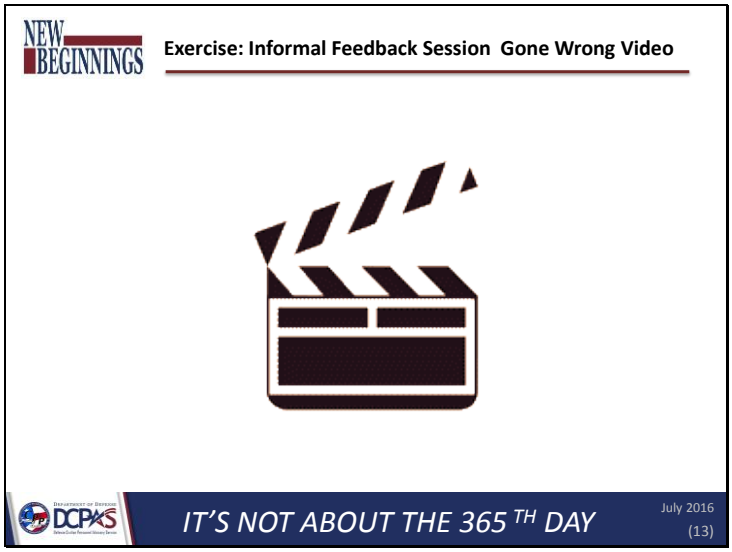
NEW BEGINNINGS
Exercise: Informal Feedback Session Gone Wrong Video
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NEW BEGINNINGS
Exercise: Informal Feedback Session Gone Right Video
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NEW BEGINNINGS
Barriers to Performance Success
Internal
• Motivation, perception, competence, work-life imbalance . . .
External
• Resources, training and development, unclear standards, lack of meaningful feedback . . .
Systemic
• Disparate treatment, lack of supervisor accountability, inconsistent recognition and award system . . .
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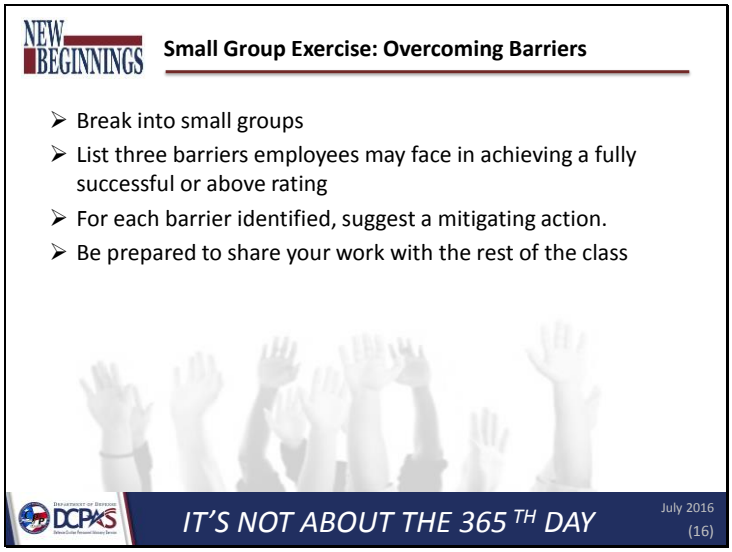
NEW BEGINNINGS
Small Group Exercise: Overcoming Barriers
Break into small groups
List three barriers employees may face in achieving a fully successful or above rating
For each barrier identified, suggest a mitigating action.
Be prepared to share your work with the rest of the class
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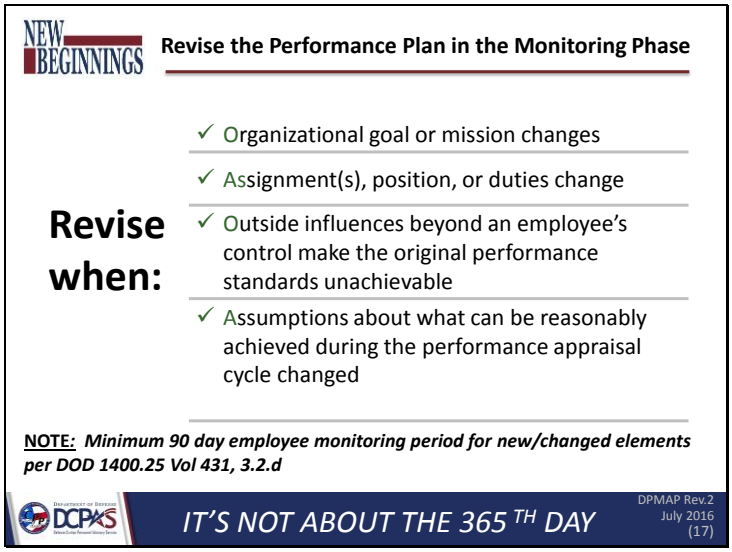
NEW BEGINNINGS
Revise the Performance Plan in the Monitoring Phase
Revise when:
✓ Organizational goal or mission changes
✓ Assignment(s), position, or duties change
✓ Outside influences beyond an employee's control make the original performance standards unachievable
✓ Assumptions about what can be reasonably achieved during the performance appraisal cycle changed
NOTE: Minimum 90 day employee monitoring period for new/changed elements per DOD 1400.25 Vol 431, 3.2.d
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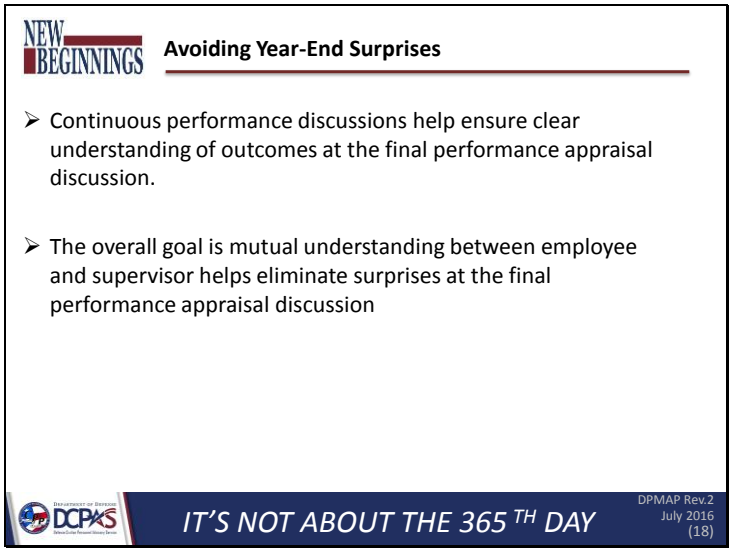
NEW BEGINNINGS
Avoiding Year-End Surprises
Continuous performance discussions help ensure clear understanding of outcomes at the final performance appraisal discussion.
The overall goal is mutual understanding between employee and supervisor helps eliminate surprises at the final performance appraisal discussion
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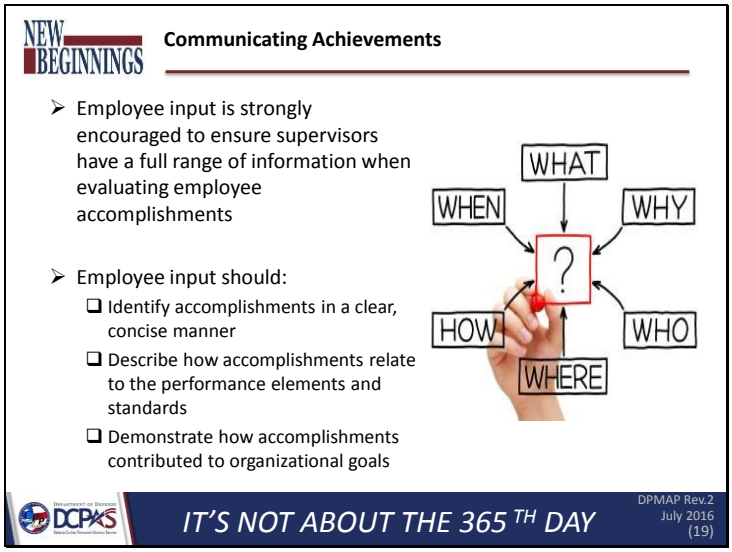
NEW BEGINNINGS
Communicating Achievements
Employee input is strongly encouraged to ensure supervisors have a full range of information when evaluating employee accomplishments
Employee input should:
Identify accomplishments in a clear, concise manner
Describe how accomplishments relate to the performance elements and standards
Demonstrate how accomplishments contributed to organizational goals
WHAT
WHEN
WHY
?
HOW
WHO
WHERE
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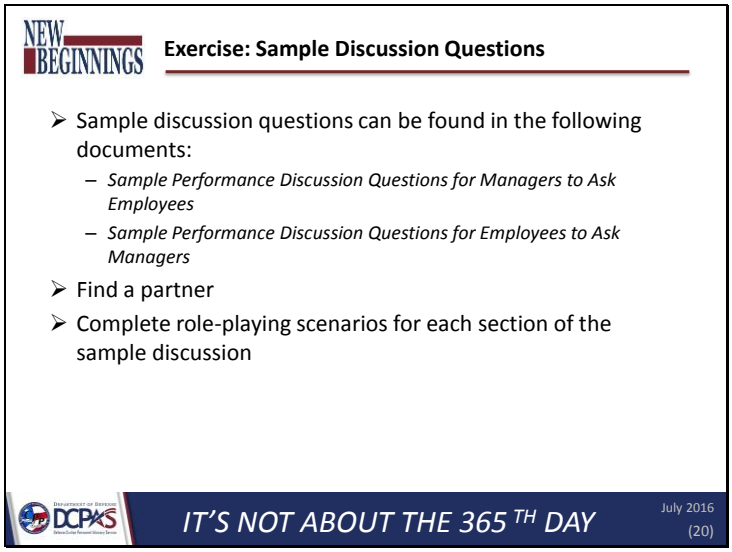
NEW BEGINNINGS
Exercise: Sample Discussion Questions
Sample discussion questions can be found in the following documents:
Sample Performance Discussion Questions for Managers to Ask Employees
Sample Performance Discussion Questions for Employees to Ask Managers
Find a partner
Complete role-playing scenarios for each section of the sample discussion
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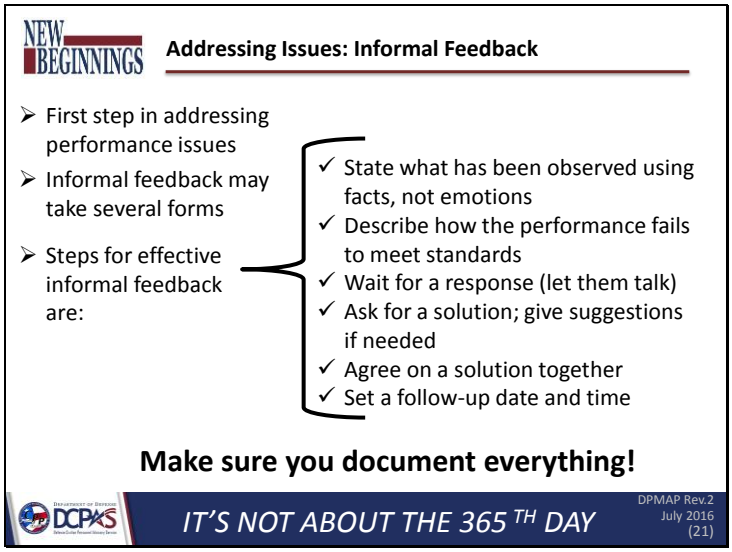
NEW BEGINNINGS
Addressing Issues: Informal Feedback
First step in addressing performance issues
Informal feedback may take several forms
Steps for effective informal feedback are:
State what has been observed using facts, not emotions
Describe how the performance fails to meet standards
Wait for a response (let them talk)
Ask for a solution; give suggestions if needed
Agree on a solution together
Set a follow-up date and time
Make sure you document everything!
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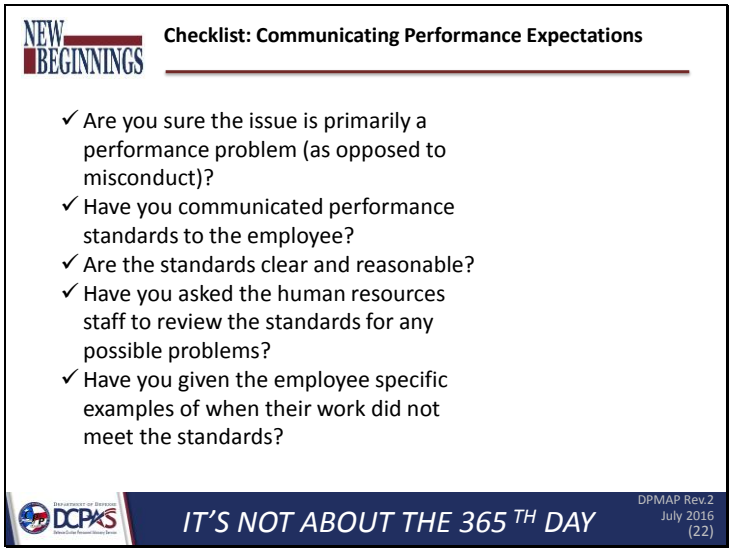
NEW BEGINNINGS
Checklist: Communicating Performance Expectations
✓ Are you sure the issue is primarily a performance problem (as opposed to misconduct)?
✓ Have you communicated performance standards to the employee?
✓ Are the standards clear and reasonable?
✓ Have you asked the human resources staff to review the standards for any possible problems?
✓ Have you given the employee specific examples of when their work did not meet the standards?
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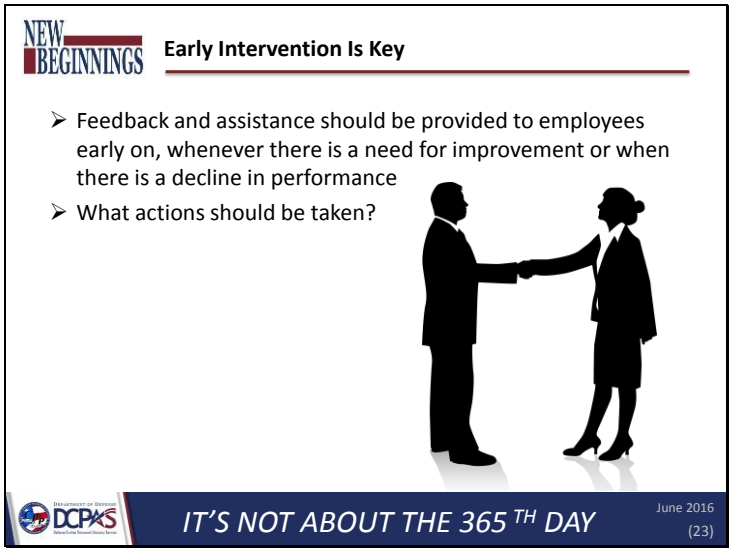
NEW BEGINNINGS
Early Intervention Is Key
Feedback and assistance should be provided to employees early on, whenever there is a need for improvement or when there is a decline in performance
What actions should be taken?
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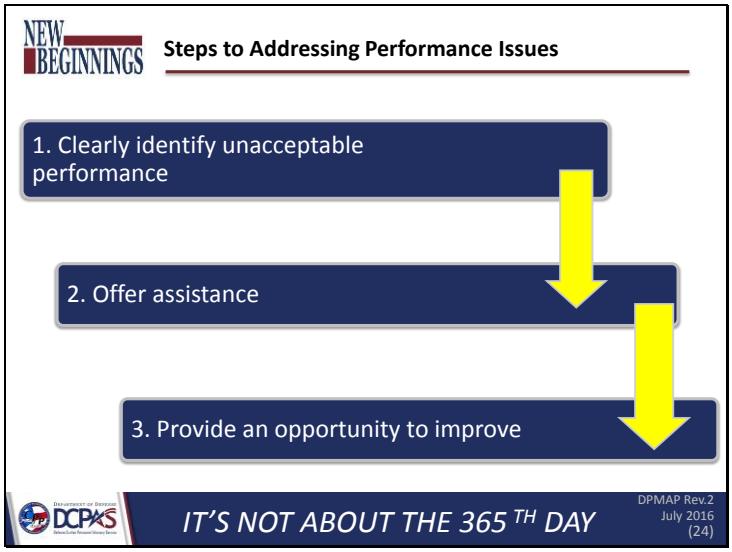
NEW BEGINNINGS
Steps to Addressing Performance Issues
1. Clearly identify unacceptable performance
2. Offer assistance
3. Provide an opportunity to improve
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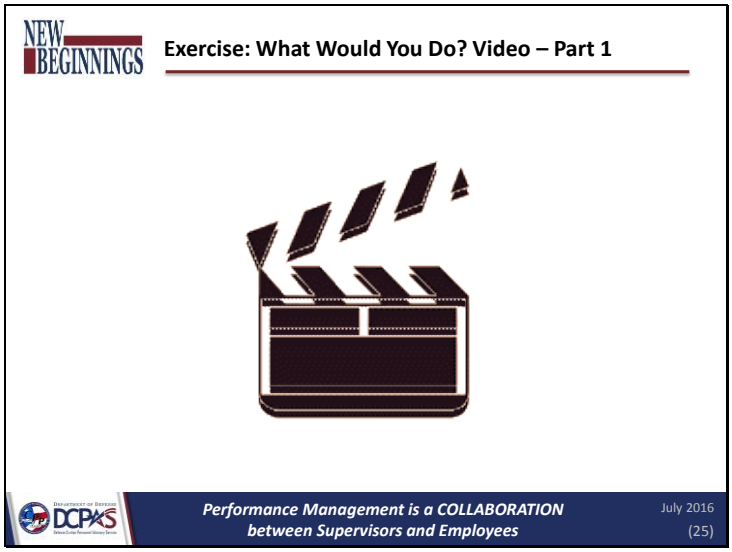
NEW BEGINNINGS
Exercise: What Would You Do? Video – Part 1
DCPAS
Performance Management is a COLLABORATION between Supervisors and Employees
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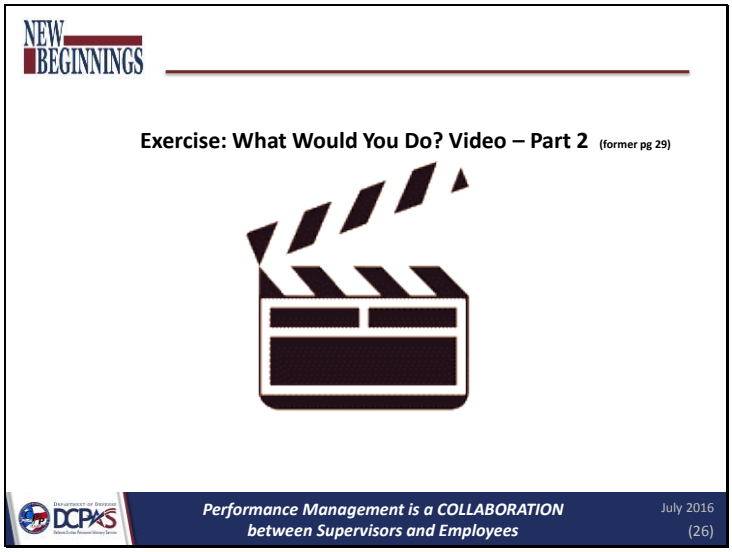
NEW BEGINNINGS
Exercise: What Would You Do? Video – Part 2 (former pg 29)
DCPAS
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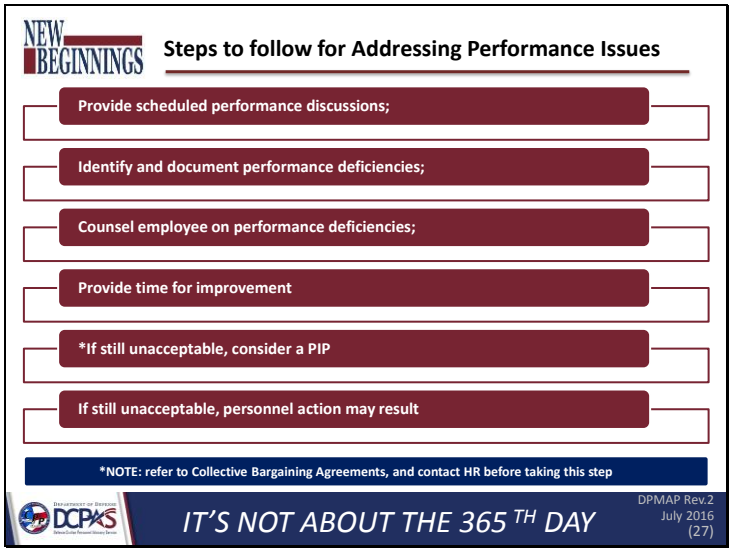
Slide 27


NEW BEGINNINGS
Steps to follow for Addressing Performance Issues
Provide scheduled performance discussions;
Identify and document performance deficiencies;
Counsel employee on performance deficiencies;
Provide time for improvement
*If still unacceptable, consider a PIP
If still unacceptable, personnel action may result
*NOTE: refer to Collective Bargaining Agreements, and contact HR before taking this step
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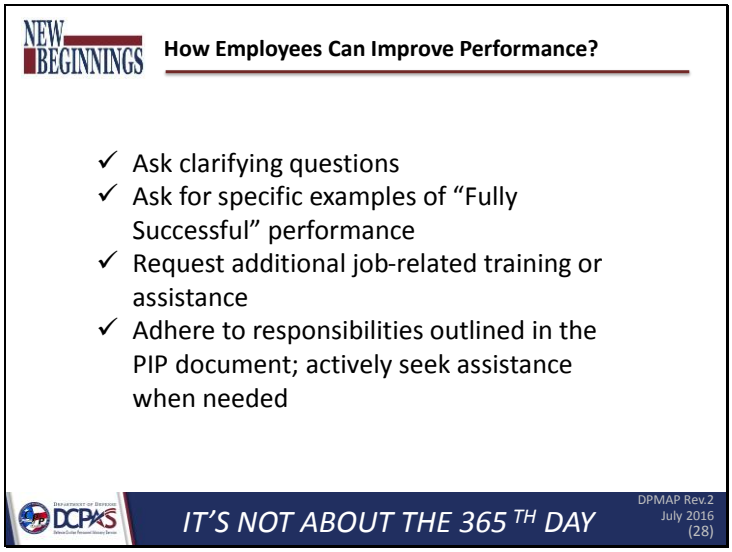
NEW BEGINNINGS
How Employees Can Improve Performance?
✓ Ask clarifying questions
✓ Ask for specific examples of "Fully Successful" performance
✓ Request additional job-related training or assistance
✓ Adhere to responsibilities outlined in the PIP document; actively seek assistance when needed
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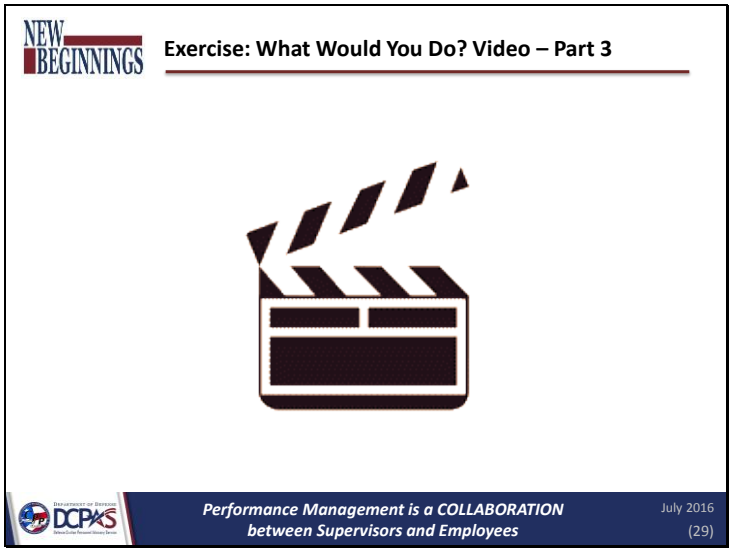
NEW BEGINNINGS
Exercise: What Would You Do? Video – Part 3
DCPAS
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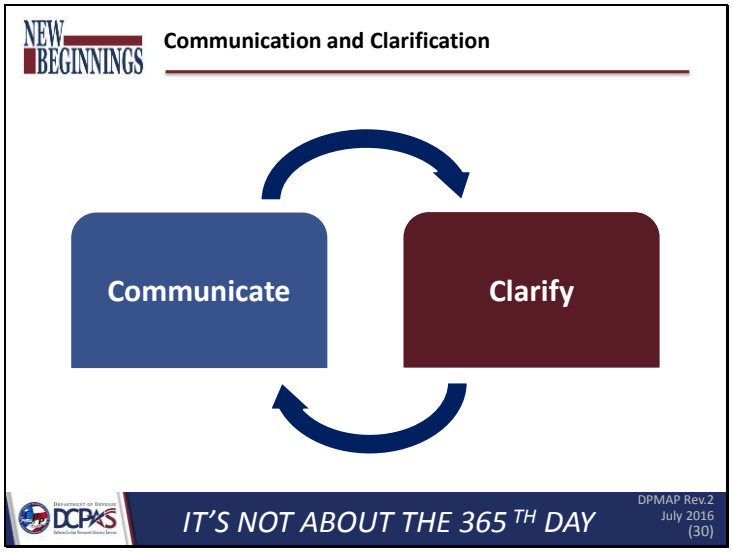
NEW BEGINNINGS
Communication and Clarification
Communicate
Clarify
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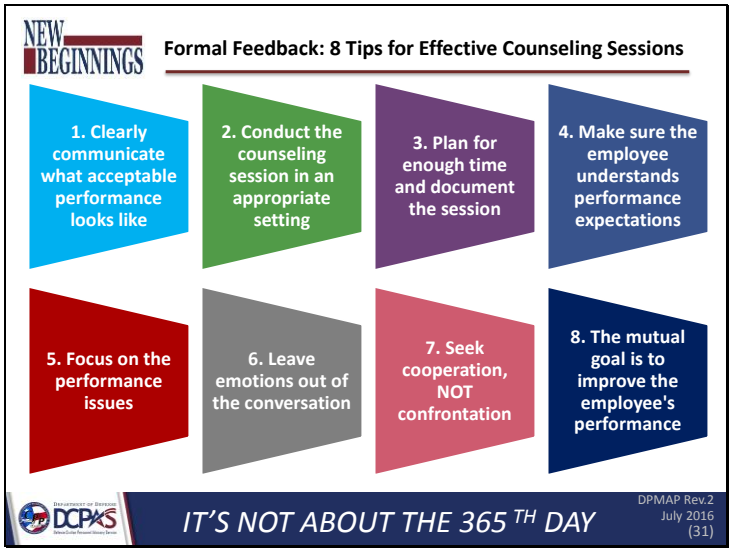
NEW BEGINNINGS
Formal Feedback: 8 Tips for Effective Counseling Sessions
1. Clearly communicate what acceptable performance looks like
2. Conduct the counseling session in an appropriate setting
3. Plan for enough time and document the session
4. Make sure the employee understands performance expectations
5. Focus on the performance issues
6. Leave emotions out of the conversation
7. Seek cooperation, NOT confrontation
8. The mutual goal is to improve the employee's performance
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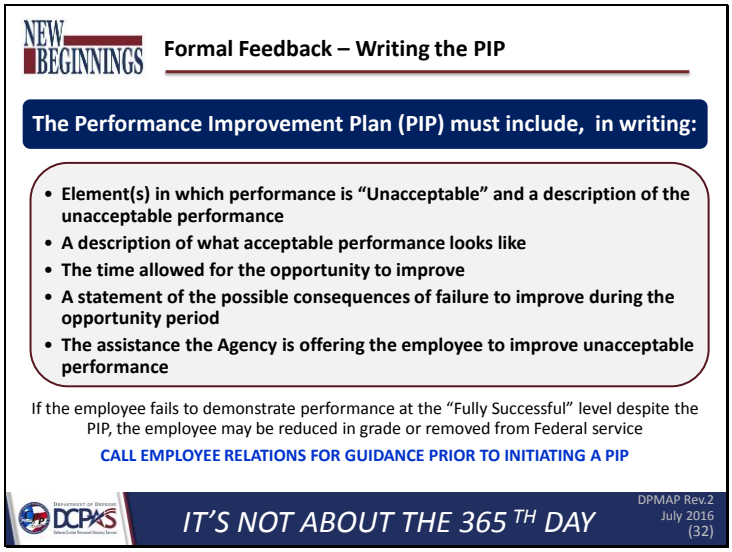
NEW BEGINNINGS
Formal Feedback – Writing the PIP
The Performance Improvement Plan (PIP) must include, in writing:
• Element(s) in which performance is "Unacceptable" and a description of the unacceptable performance
• A description of what acceptable performance looks like
• The time allowed for the opportunity to improve
• A statement of the possible consequences of failure to improve during the opportunity period
• The assistance the Agency is offering the employee to improve unacceptable performance
If the employee fails to demonstrate performance at the "Fully Successful" level despite the PIP, the employee may be reduced in grade or removed from Federal service
CALL EMPLOYEE RELATIONS FOR GUIDANCE PRIOR TO INITIATING A PIP
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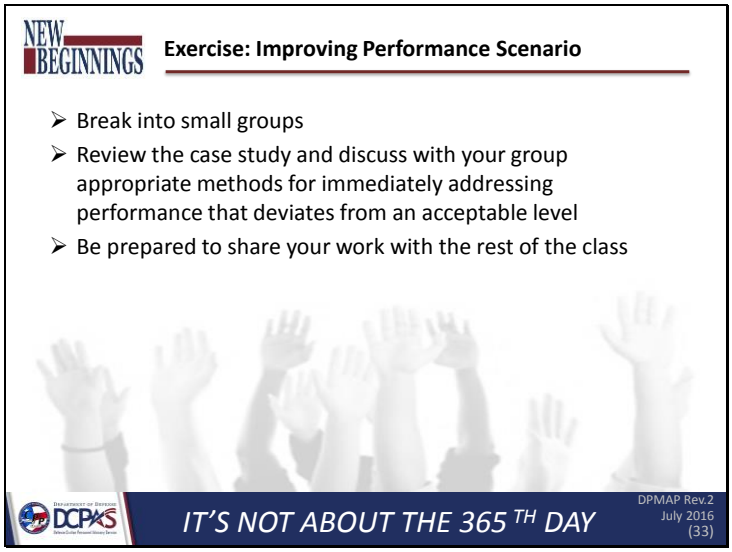
NEW BEGINNINGS
Exercise: Improving Performance Scenario
Break into small groups
Review the case study and discuss with your group appropriate methods for immediately addressing performance that deviates from an acceptable level
Be prepared to share your work with the rest of the class
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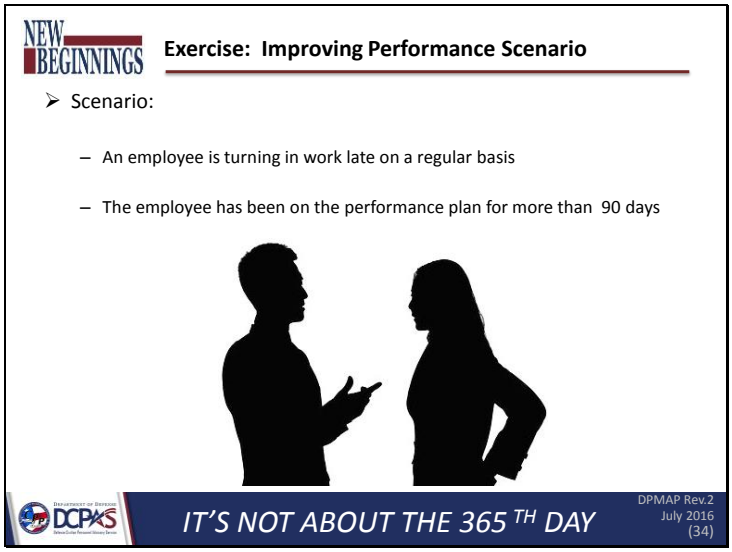
NEW BEGINNINGS
Exercise: Improving Performance Scenario
Scenario:
An employee is turning in work late on a regular basis
The employee has been on the performance plan for more than 90 days
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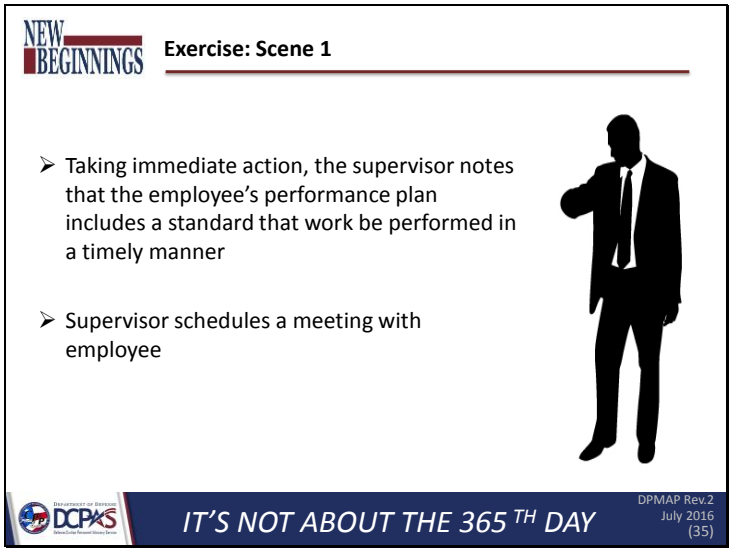
NEW BEGINNINGS
Exercise: Scene 1
Taking immediate action, the supervisor notes that the employee's performance plan includes a standard that work be performed in a timely manner
Supervisor schedules a meeting with employee
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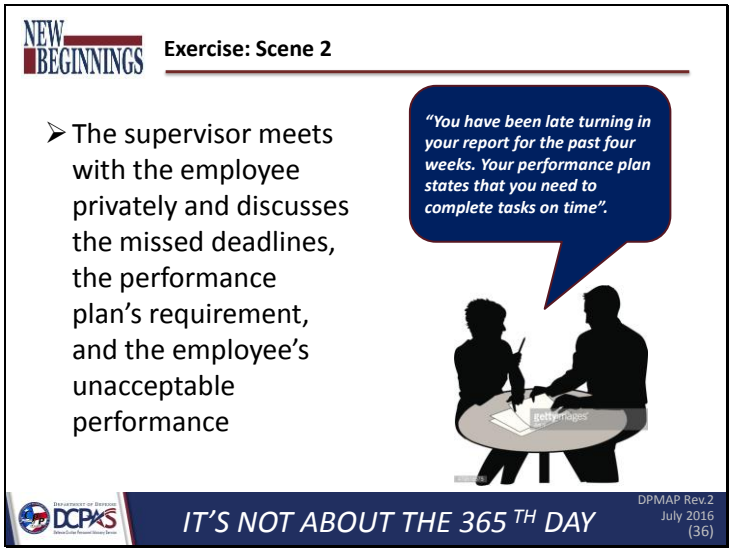
NEW BEGINNINGS
Exercise: Scene 2
➢ The supervisor meets with the employee privately and discusses the missed deadlines, the performance plan's requirement, and the employee's unacceptable performance
"You have been late turning in your report for the past four weeks. Your performance plan states that you need to complete tasks on time".
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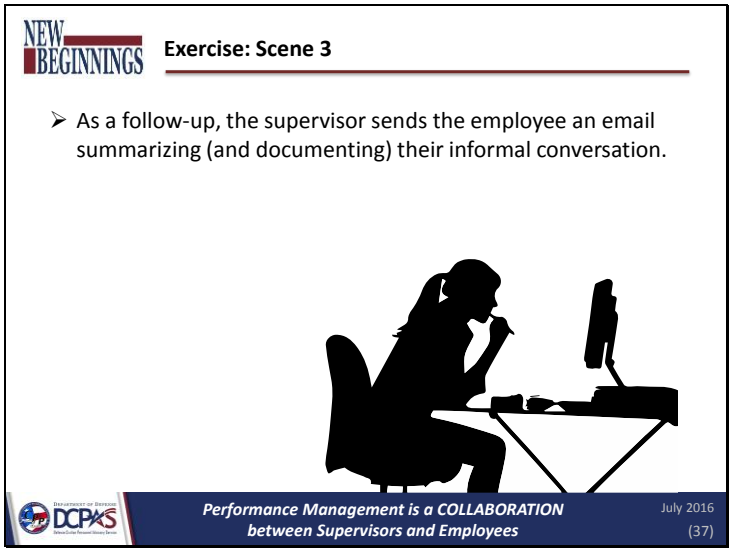
NEW BEGINNINGS
Exercise: Scene 3
As a follow-up, the supervisor sends the employee an email summarizing (and documenting) their informal conversation.
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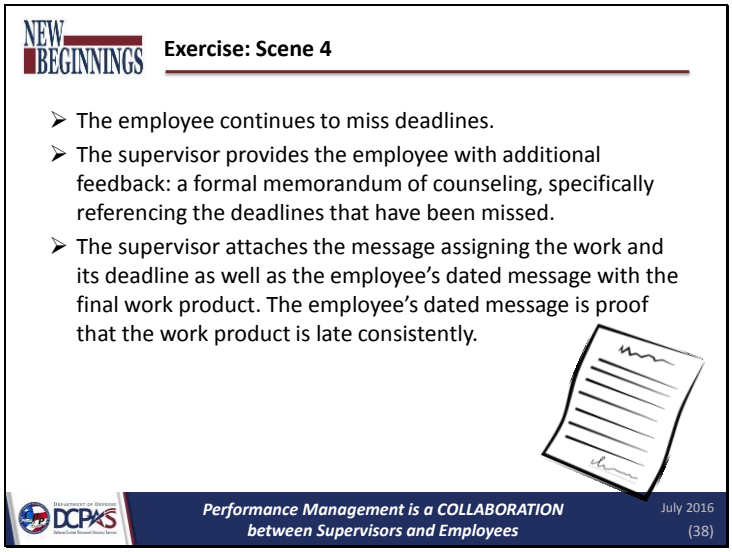
NEW BEGINNINGS
Exercise: Scene 4
The employee continues to miss deadlines.
The supervisor provides the employee with additional feedback: a formal memorandum of counseling, specifically referencing the deadlines that have been missed.
The supervisor attaches the message assigning the work and its deadline as well as the employee's dated message with the final work product. The employee's dated message is proof that the work product is late consistently.
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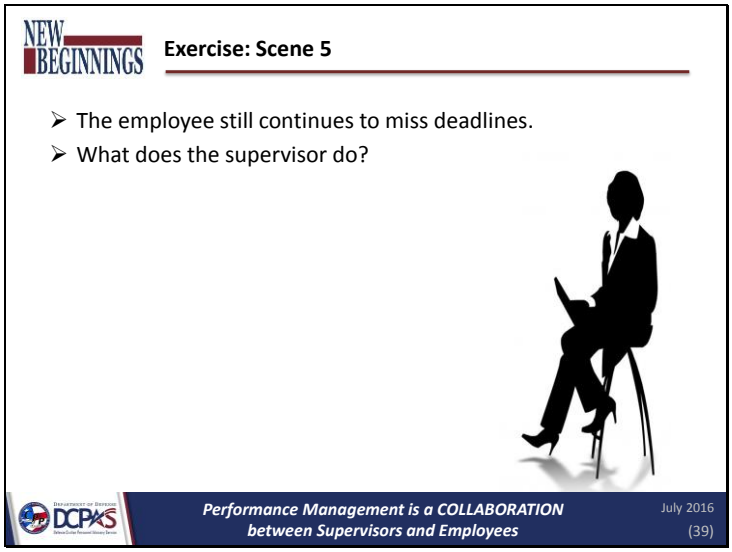
NEW BEGINNINGS
Exercise: Scene 5
The employee still continues to miss deadlines.
What does the supervisor do?
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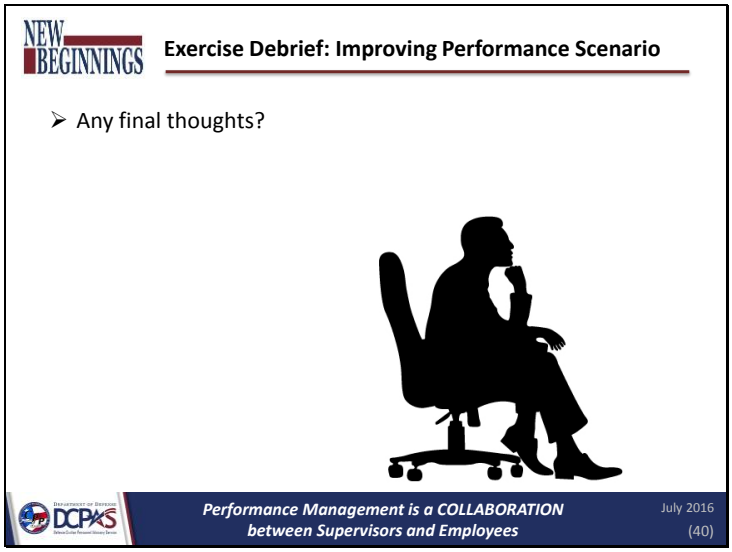
NEW BEGINNINGS
Exercise Debrief: Improving Performance Scenario
Any final thoughts?
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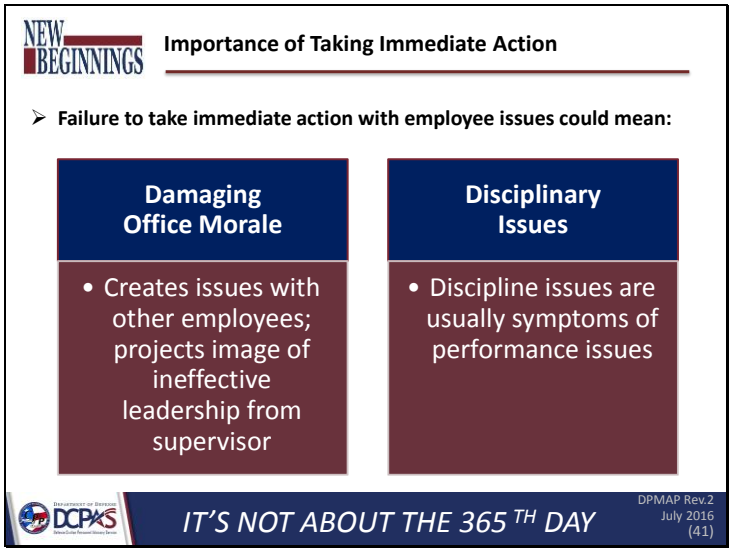
NEW BEGINNINGS
Importance of Taking Immediate Action
Failure to take immediate action with employee issues could mean:
Damaging Office Morale
• Creates issues with other employees; projects image of ineffective leadership from supervisor
Disciplinary Issues
• Discipline issues are usually symptoms of performance issues
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NEW BEGINNINGS
Preventative Actions
Communicate clear performance standards and expectations to employees
Reward and recognize good performance, informally and formally
Provide continuous, meaningful feedback on performance
Make full use of the probationary period for new employees
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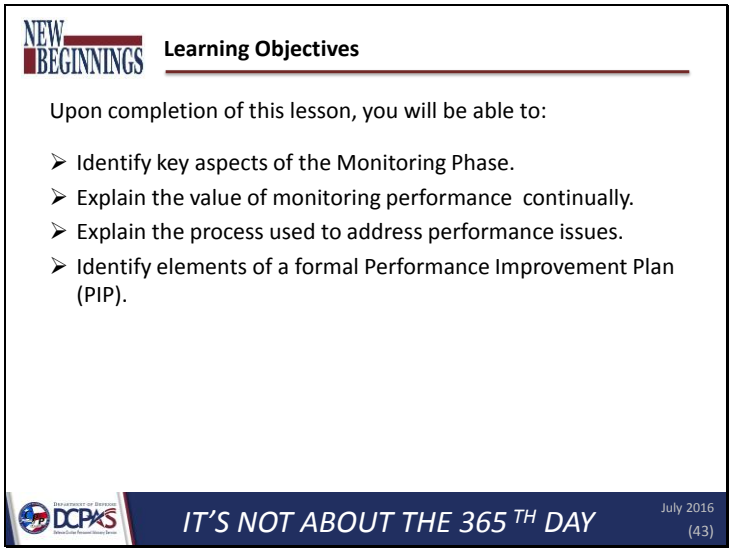
NEW BEGINNINGS
Learning Objectives
Upon completion of this lesson, you will be able to:
Identify key aspects of the Monitoring Phase.
Explain the value of monitoring performance continually.
Explain the process used to address performance issues.
Identify elements of a formal Performance Improvement Plan (PIP).
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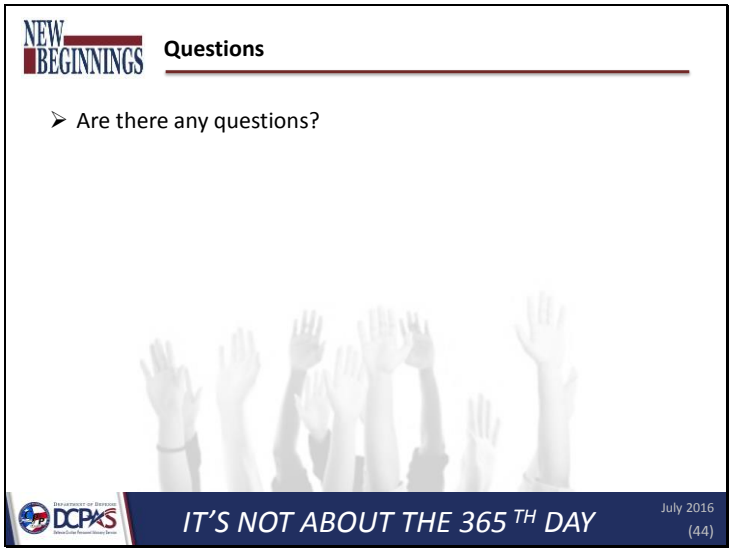
NEW BEGINNINGS
Questions
Are there any questions?
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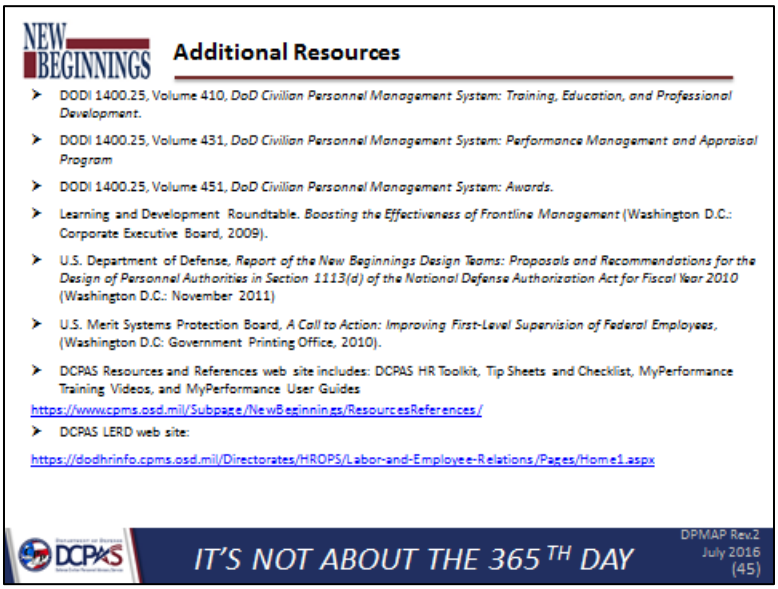
NEW BEGINNINGS
Additional Resources
DODI 1400.25, Volume 410, DoD Civilian Personnel Management System: Training, Education, and Professional Development.
DODI 1400.25, Volume 431, DoD Civilian Personnel Management System: Performance Management and Appraisal Program
DODI 1400.25, Volume 451, DoD Civilian Personnel Management System: Awards.
Learning and Development Roundtable. Boosting the Effectiveness of Frontline Management (Washington D.C.: Corporate Executive Board, 2009).
U.S. Department of Defense, Report of the New Beginnings Design Teams: Proposals and Recommendations for the Design of Personnel Authorities in Section 1113(d) of the National Defense Authorization Act for Fiscal Year 2010 (Washington D.C.: November 2011)
U.S. Merit Systems Protection Board, A Call to Action: Improving First-Level Supervision of Federal Employees, (Washington D.C: Government Printing Office, 2010).
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
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