



DEPARTMENT OF DEFENSE



Defense Civilian Personnel Advisory Service

Managing Performance in DoD: Creating a Culture of High Performance

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July 2016**



Topics

- Building a Performance Focused Culture
- NDAA Changes Impacting Performance Management





What is Different This Time?

- How is the new Performance Management and Appraisal Program different from previous programs?
 - DoD is taking a comprehensive approach to performance management, which emphasizes a high performance culture, increasing employee engagement, and the critical role of supervisors
 - The appraisal event is not the primary driver of performance
 - The mechanics of the annual appraisal process are designed to facilitate performance management and keep the focus on the ongoing engagement between the supervisor and employee
 - Transparency is key, the “Rules of the Game” are standardized across DoD, and Human Resources professionals can better serve supervisors





Involvement of Labor Representatives

- DoD engaged with labor representatives through the DoD Roundtable
 - Unions holding National Consultation Rights (NCR) under the Labor Relations Statute participated in the development of the Performance Management and Appraisal Program with senior DoD leadership
- Nothing in the Performance Management and Appraisal Program changes the rights of employees, unions, or management
- How the program is implemented may be guided by the collective bargaining agreement (CBA)
 - Depending on the procedures contained in the CBA, bargaining may be required prior to local implementation of the program
- Consult your local Human Resources (HR) Labor & Employee Relations office for collective bargaining guidance





Attributes of a High Performance Culture

- Though organizations vary widely, certain key attributes contribute to a high performance culture:
 - Trusted and respected senior leaders are openly committed to a well communicated vision
 - Accountability and integrity exists at all levels
 - Continuous learning and improving is valued
 - Appreciation for diversity, and respect for individuals in the organization is demonstrated
 - Effective communication takes place
 - A clear linkage (line-of-sight) of job tasks to organizational mission
 - Creativity and innovation is encouraged
 - Continuous dialogue and recognition is observed





Performance Focused Culture

- It is important for employees to understand how their job duties support the organization's mission and strategic goals by establishing a “line of sight”

- Line of sight is accomplished through:
 - Continuous engagement of employees
 - Proactively planning and communicating performance expectations with employees
 - Continually monitoring performance and results
 - Recognizing and rewarding good performance throughout the performance cycle
 - Evaluating performance





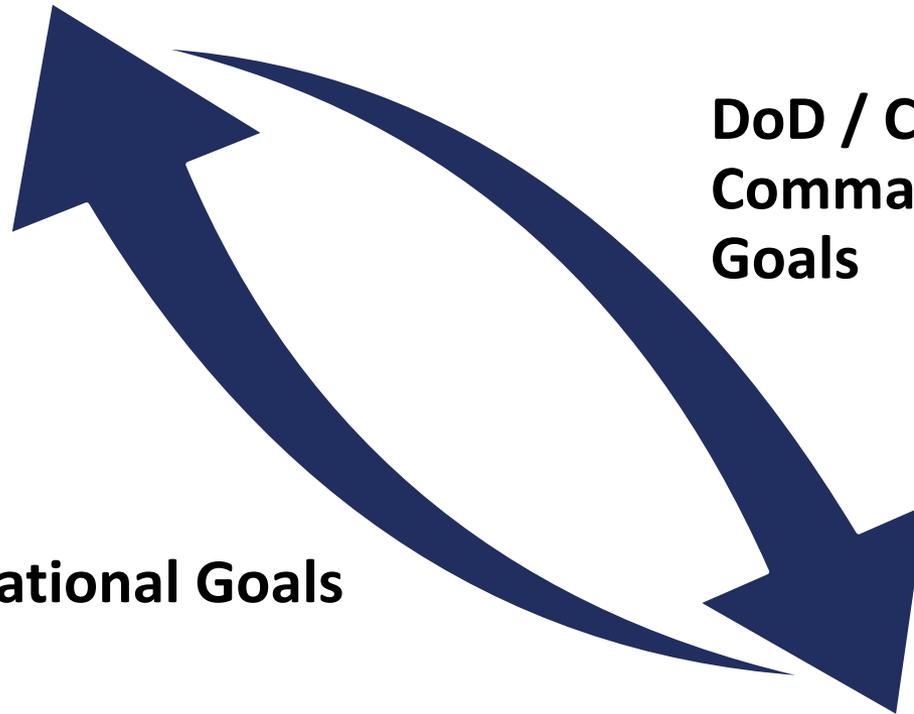
Performance Focused Culture

DoD Mission and Strategic Goals

**DoD / Component /
Command / Activity
Goals**

Organizational Goals

Team / Individual Goals





Performance Focused Culture

- Creating a culture of high performance impacts performance management by:
 - Contributing to increased communication between supervisors and employees
 - Promotes early identification and intervention of performance issues
 - Eliminating surprises for the employee at appraisal time
 - It is not about the 365th day
 - Meeting mission success through higher understanding of expectations

- Introducing a new culture requires:
 - Development of productive relationships
 - The ability to demonstrate new competencies
 - The need to develop habits of engagement not currently exercised on a consistent basis





The Role of Leadership in Creating a High Performance Culture

- Strong, purpose-driven leadership is key to organizational success; in order to attempt a change in culture, there must be support from the top as role models for change
- Ensuring DoD facilitates employee engagement and high performance requires leadership to wholeheartedly embrace, communicate, and model the attributes necessary for a high-performance culture to develop and succeed
- Leaders drive performance by communicating the mission and goals of the organization and setting the tone for the organization's mission and values





The Role of the Supervisor in Creating a High Performance Culture

- 14 New Beginnings Initiatives focus supervision as the primary focus, including:
 - Supervisory work and related managerial responsibilities should constitute the primary focus of all supervisors and be reflected by an equal or greater number of supervisory elements than technical performance elements
 - DoD supervisory responsibilities are annotated in all performance plans
 - Learning and development for supervisors is encouraged





Performance Focused Culture

Performance Management is a **COLLABORATION** between supervisors and employees

- Employee engagement includes a heightened inter-connection among co-workers, customers, and supervisors, their job duties, and their organizations
- The supervisor and employee will receive an electronic notice 90 days prior to the employee's WGI eligibility date
 - The eligibility date for an employee's WGI is impacted only if the employee's rating of record on that date is unacceptable

Pride in one's
work or
workplace

Satisfaction with
leadership

Opportunity to
perform well at
work

Satisfaction with
the recognition
received

Prospect for
future personal
and professional
growth

A positive work
environment
with a focus on
teamwork





The Role of the Supervisor in Creating a High Performance Culture

Supervisors and employees should meet frequently to discuss:





Performance Focused Culture

Supervisor Focused

- Performance Elements
 - Technical duties vs. Supervisory duties
- Engaging Employees
 - Continuous feedback
 - Rewarding and Recognition
 - Throughout the performance cycle - not just the 365th day
- Training
 - Performance Management
 - Manager and Supervisor
- Resources
 - Performance Management Toolkit, Performance Management Tip Sheets, Hiring Managers Toolkit, Mentoring Portal





Performance Focused Culture

- The role of the Human Resource Practitioner remains virtually unchanged
- HR plays a key role in performance management by collaborating with supervisors to establish and maintain a high performance culture by:
 - Advising Supervisors and Managers
 - Interpreting Law, Regulation, and Policy
 - Ensuring actions taken are in alignment with Law, Regulation, and Policy
 - Protecting interests of the Component/Agency/DoD Field Activity





Dealing with Performance Issues

- Early identification of poor performance is essential to fostering a culture of high performance

- Supervisors and Human Resources should work together in addressing poor performance
 - Know your collective bargaining agreements
 - Performance issues do not fix themselves
 - Addressing issues early saves time and money
 - Hold employees accountable





NDAA 2016 Provisions Impacting Performance

- NDAA 2016 provides several legislative changes related to performance management
 - Section 1101: Reductions in Force
 - Section 1105: Probationary Periods
 - Section 1106: Within-Grade Increase Delays





- “The Secretary of Defense shall establish procedures to provide that, in implementing any reduction in force for civilian positions in the Department of Defense in the competitive service or the excepted service, the determination of which employees shall be separated from employment in the Department shall be made primarily on the basis of performance, as determined under any applicable performance management system”
- **Application:** The Department is considering implementation procedures for RIF determinations made primarily on the basis of performance and will draft policy and supplemental guidance to assist Components





Two Year Probationary Periods for New DoD Employees

- “Notwithstanding sections 3321 and 3393(d) of title 5, the appointment of a covered employee shall become final only after such employee has served a probationary period of two years. The Secretary concerned may extend a probationary period under this subsection at the discretion of such Secretary”
- **Application:** In many cases, a newly appointed DoD employee must complete a 2-year probationary period, or has completed 2 years of current continuous service, under other than a temporary appointment limited to 2-years or less to be eligible for full due process





NDAAs 2016

Two Year Probationary Periods for New DoD Employees

- An individual who has completed a 1-year probationary period in a competitive service position at another Federal agency, upon reassignment to a DoD position, will have full appeal rights, even though the individual might be in a probationary period assignment for another year
- An individual transferring from another Federal agency, and who has not yet completed a probationary or trial period at that agency, remain in a probationary period until such time as the individual completes 2-years of current continuous service
- An individual who has completed 2-years of current continuous service in another Federal agency, and is appointed to a DoD position, is not required to complete a new probationary period
- The issue of same or similar service in the excepted service is not changed. Same or similar service must still be a “like” position





NDAAs 2016

Within-Grade Increase Delay

- “The Secretary of Defense, upon a determination by the Secretary that the work of an employee is not at an acceptable level of competence, the period of time during which the work of the employee is not at an acceptable level of competence shall not count toward completion of the period of service required for purposes of subsection (a) of section 5335 of title 5, United States Code OR subsection (e)(1) or (e)(2) of section 5343 of such title”
- **Application:** The waiting period for a Within-Grade Increase (or equivalent) will be extended by the same number of calendar days spent improving performance to an acceptable level of competence. The Department is considering implementation procedures for the Within-Grade Increase delay determinations and will draft policy and supplemental guidance to assist Components





Resources

- 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*
- Additional resources are available on the DCPAS LERD web site at: <https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Pages/Home1.aspx>, including:
 - Supervisory Role Focus on Performance
 - Performance Overview for Employees
 - Communicating With Employees





Questions and Contact



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