Lesson 6: Evaluating Performance
No surprises for either party at the end of the appraisal cycle
Upon completion of this lesson, you will be able to:

- Recognize important facets of the Evaluating Phase.
- Describe how employees’ inputs benefit the final performance appraisal discussion.
- Explain how to prepare for the performance discussion.
Performance Management

- Ongoing
- Supervisors and employees share responsibility
- Consist of:
  - Proactively planning work and setting expectations
  - Continually monitoring performance
  - Evaluating performance in a summary fashion
  - Recognizing and rewarding good performance

No surprises for either party at the end of the appraisal cycle
Evaluating performance entails assessing performance against the performance elements and standards in the employee’s approved performance plan and assigning a rating of record based on work performed during the appraisal cycle.

DoD Instruction 1400.25, Vol. 431
Evaluating Performance

✓ Prepared and documented in the *MyPerformance* Tool on DD 2906

✓ Performance Appraisal Cycle *01 April to 31 March*

✓ Performance Ratings
  - 5 - Outstanding
  - 3 - Fully Successful
  - 1 - Unacceptable

No surprises for either party at the end of the appraisal cycle
Employee Performance Ratings

- **(5) OUTSTANDING**
  - The average score of all performance element ratings is 4.3 or greater, with no element being rated a “1”, resulting in an overall rating of record that is a “5”.

- **(3) FULLY SUCCESSFUL**
  - The average score of all performance element ratings is less than 4.3, with no element being rated a “1”, resulting in an overall rating of record that is a “3”.

- **(1) UNACCEPTABLE**
  - Any performance element rated as a “1”.

- At the end of the appraisal cycle, an employee’s performance is rated by his or her supervisor against the employee’s performance plan.

- Employee must be provided a written rating of record and been under an approved performance plans for **90 calendar days** during the appraisal cycle.

*No surprises for either party at the end of the appraisal cycle*
SAMPLE Performance Rating Narratives

Level 5 - Outstanding
- Produces exceptional results or exceeds expectations well beyond specified outcomes
- Sets targeted metrics high and far exceeds them (e.g., quality, budget, quantity)
- Handles roadblocks or issues exceptionally well and makes a long-term difference in doing so
- Is widely seen as an expert, valued role model, or mentor for this work
- Exhibits the highest standards of professionalism

Level 3 – Fully Successful
- Effectively produces the specified outcomes, and sometimes exceeds them
- Consistently achieves targeted metrics
- Proactively informs supervisor of potential issues or roadblocks and offers suggestions to address or prevent them
- Achieves goals with appropriate level of supervision

Level 1 - Unacceptable
- Does not meet expectations for quality of work; fails to meet many of the required results for the goal
- Is unreliable; makes poor decisions; misses targeted metrics (e.g., commitments, deadlines, quality)
- Lacks or fails to use skills required for the job
- Requires much more supervision than expected for an employee at this level

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Evaluating Phase Roles and Responsibilities

**Employees**

- Provide input
- Include each performance element
- Restate understanding of these performance elements
- Highlight all of the most significant achievements
- Make the connection accomplishment > result > impact on the organization
- Note challenges, how they were resolved, and lessons learned

**Supervisors**

- Request and consider employee input
- Consider obstacles encountered and overcome
- Prepare a written narrative and rating on each performance element
- Make meaningful distinctions based on performance; foster and reward excellent performance; address performance issues
- Clearly communicate approved and finalized ratings

*No surprises for either party at the end of the appraisal cycle*
# Employee Input and Supervisor Evaluation

## Employee Input
- Written by employees about themselves
- Compares performance during the appraisal cycle to performance elements and standards
- Provides opportunity for employee to state accomplishments and impact
- Focuses on employees’ perception of their strengths and improved performance
- Emphasizes organizational impact of performance
- Makes supportable distinctions in performance above Fully Successful level (if applicable)
- Includes awards, recognitions, and compliments received during the appraisal cycle

## Supervisor Evaluation
- Written by supervisors about employee performance
- Compares employee input, if completed, and performance elements and standards
- Provides employees with meaningful, constructive, and candid feedback
- Focuses on supervisors’ assessment of strengths, improvement notes, and areas for improvement
- Emphasizes organizational impact of performance
- Makes meaningful distinctions in performance and provides supporting documentation of the recommended rating (if applicable)
- Includes observations made by other managers, supervisors, customers, or peers

*No surprises for either party at the end of the appraisal cycle*
Preparation for Performance Discussions

- Conducting successful performance discussions requires preparation

- Supervisors may use the following steps to prepare:
  
  - Gather the material
  - Review and write
  - Schedule the meeting

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Gather the Material

Have all the necessary tools close at hand before starting to write the performance discussion narrative. This includes:

- A copy of the employee's performance plan
- Notes of previous meetings
- Employee input documents
- Written or recorded feedback on employee performance from other sources

No surprises for either party at the end of the appraisal cycle
When writing the narrative, supervisors should consider:

- Responsibilities and Duties
- Performance
- Developmental Needs
Supervisors write a performance narrative that describes the employee’s performance measured against the performance standards for the appraisal cycle.

- Performance narratives:
  - Justify how an employee’s ratings are determined.
  - Are required for each element rated “Outstanding” and “Unacceptable”.
  - Are highly encouraged for each element rated “Fully Successful” as a means of recognizing all levels of accomplishments and contributions to mission success.

A written rating of record must be provided at the end of the appraisal cycle for each employee who has been under an approved performance plan for 90 calendar days during the cycle.

No surprises for either party at the end of the appraisal cycle.
Schedule the Meeting

When scheduling performance discussions, supervisors set the date, time, and location of the meeting with the employee.

**Note:** Per DODI 1400.25, volume 431, a rating record of “Unacceptable” must be reviewed and approved by a higher level reviewer. Supervisors should be sure to familiarize themselves with and follow local policy **before** they communicate the rating to an employee. Supervisors should contact their Employee Relations Specialist in Human Resources prior to rating an employee as “Unacceptable.”
Exercise: End-of-Year Meeting Video

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Exercise Debrief: End-of-Year Meeting Video

- What did the supervisor do in this meeting that was positive and/or useful?

- What did the employee do in this meeting that was positive and/or useful?

- Where were the Trust Behaviors?
Performance Discussions

- DPMAP requires *three* performance discussions between supervisor and employee during the performance appraisal cycle. **THEY ARE:**
  - Initial Performance Planning Meeting
  - Progress Review
  - Final Performance Appraisal Discussion

- In addition to those required, *more frequent and meaningful periodic discussions between supervisors and employees are HIGHLY encouraged.* **They help to:**
  - Understand expectations toward goals
  - Facilitate supervisor-employee engagement
  - Increase the amount of feedback
  - Contribute to a more complete and accurately documented appraisal
  - Encourage supervisors to recognize and reward deserving employees in a more timely manner

- All performance discussions should be given sufficient, uninterrupted time, in a suitable private location, and results documented

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Resolving Differences

- A rating of record is official even if the employee does not sign it.
- If possible, differences should be resolved informally.
- If they cannot be resolved, the employee:
  - May raise issues related to the performance appraisal process through the administrative grievance system or, where applicable, the negotiated grievance procedure.
  - Has the right to appeal performance-based actions.
    - Title 5, Code of Federal Regulations §432 and §752.
You should now be able to:

- Recognize important facets of the Evaluating Phase.
- Describe how employees’ inputs benefit the final performance appraisal discussion.
- Explain how to prepare for the performance discussion.
Are there any questions?
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