

A vertical graphic of the American flag, showing the stars and stripes, positioned on the left side of the slide.

# NEW BEGINNINGS

## **Lesson 6: Evaluating Performance**

**Leadership** SERVICE **Pride** readiness  
WORKFORCE PLANNING  
**NEW** Ownership  
Supervisor Performance  
communication  
Guides  
**BEGINNINGS** hiring  
EXCELLENCE **mission** accountability MENTORING  
tools Teamwork **PERFORMANCE** Commitment  
training  
Rewards

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.

- 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

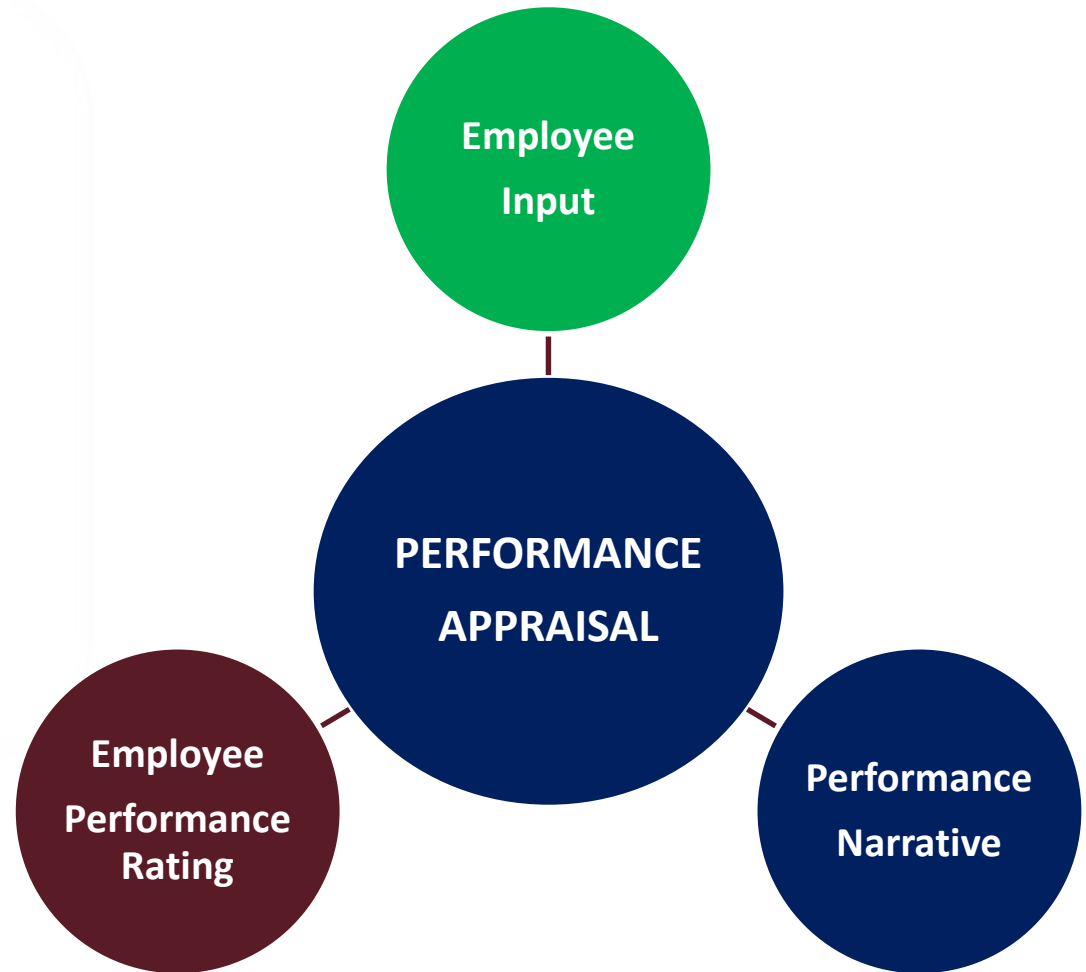


## Evaluating Performance

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

- ✓ 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*



### (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

## 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



## 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

# 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

- Conducting successful performance discussions requires preparation
- Supervisors may use the following steps to prepare:

Gather the  
material



Review and  
write



Schedule  
the meeting

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

**Gather the material**



Review and write



Schedule the meeting

When writing the narrative, supervisors should consider:

- Responsibilities and Duties
- Performance
- Developmental Needs

Gather the material



**Review and write**



Schedule the meeting

## Write the Performance Narrative

**Supervisors write a performance narrative that describes the employee's performance measured against the performance standards for the appraisal cycle**

**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.**

- 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

Gather the material



**Review and write**



Schedule the meeting

## 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.”

Gather the material



Review and write



**Schedule the meeting**

## Exercise: End-of-Year Meeting Video

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- 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:**



- 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

- 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?



## Additional Resources

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- 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.*
- 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>

- Corporate Leadership Council. *Building the High-Performance Workforce: A Quantitative Analysis of the Effectiveness of Performance Management Strategies* (Washington D.C.: Corporate Executive Board, 2002)