



Instructor Guide
Lesson 6 Performance Management



Cyber Excepted Service (CES) HR Elements Performance Management

Instructor Guide





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Cyber Excepted Service (CES) HR Elements Course, Lesson 6 Performance Management

COURSE OUTCOME

The overall course goal is to prepare HR Professionals to guide supervisors and employees covered under CES for transition to the new personnel system with an overview of the DoD Performance Management and Appraisal Program utilized by CES.

METHODOLOGY

Lecture: Transmit information which supplements or enhances reading; promote understanding via explanations; respond to student misconceptions or difficulties; create or engage interest in a new area; motivate reading or other assignments. Examples of lecture content includes: Create interest in the performance management program, promote understanding via explanations; and respond to student misconceptions or difficulties.

Discussions: Practice thinking and communicating in the subject/discipline; evaluate positions, arguments, or designs; defend own position; identify problems, conflicts and inconsistencies; get feedback from/about students; draw on students' expertise and prior knowledge.

TARGET AUDIENCE

The primary target audience is HR Professionals covered under CES.

About Facilitating

MATERIALS NEEDED

Be sure you have the following materials, which will be needed to complete the activities:

- ◆ Instructor Guide/Slides
- ◆ Copies of Lesson 1- Ice Breaker Participant Activity Sheet
- ◆ Chart paper/easel (at least 3)
- ◆ 3"x3" Post-It notes
- ◆ Markers for Chart paper





SETUP

Prior to a training session, be sure that the following setup has been completed:

- ◆ Practice with slides on session computer
- ◆ Test slides/practice in room
- ◆ Test microphone if used

SPECIAL FACILITATION REQUIREMENTS

Keep the participants actively involved, but watch the time!

BEST PRACTICES

Here are some best practices for facilitating an instructor-led training course.

1. Refer to the *Instructor's Guide* and rely on the script. Rehearse the script several times so that you can paraphrase it in a natural way. To the degree the schedule allows, try to add information that supports or highlights the points being made in the slide (e.g., add examples from your own experience).
2. Encourage participation. Accomplish this by asking questions and by having the participants interact as directed.
3. Encourage participants to speak in turn.
4. Encourage participants to follow along on the slides.
5. At the end of a lesson, ask the participants what they remember. Let them summarize the major instructional points, if time permits.
6. Keep the atmosphere informal so that the participants are comfortable asking questions, participating in activities, and sharing their knowledge or concerns.



COURSE Introduction and Overview

COURSE NAME

Lesson 6: Performance Management

Duration

60 minutes

PURPOSE

The purpose of this lesson is to prepare HR Professionals to guide supervisors and employees covered under CES for transition to the new personnel system with an overview of the DoD Performance Management and Appraisal Program utilized by CES.





LESSON 6: Performance Management

PURPOSE

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LEARNING TOPICS

When participants have completed Lesson 6, they will be able to discuss:

- Describe the relationship between performance management and the Department of Defense (DoD) mission and core values
- Understand the Pre-decisional Involvement of the Labor Representatives in the development of the DoD Performance Management and Appraisal Program
- Identify key performance management roles and responsibilities
- Recognize significant performance management features
- Characterize the DoD performance management model





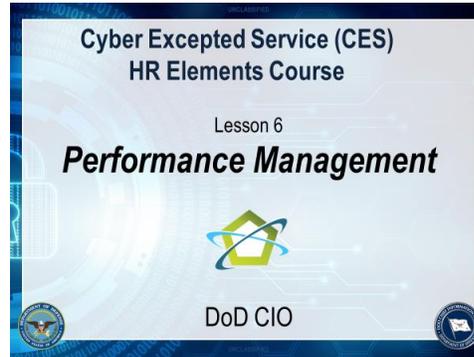
TIME

The following is a suggested time plan for this lesson. The instructor(s) may adapt it as needed. Note this table does not reflect breaks – use your judgement to determine the timing of breaks for participants.

LESSON	SUGGESTED TIME
Lesson 6: Performance Management	50 minutes with one 10 minute break



Instructor Notes



LESSON 6: Performance Management

DO - Display the course title slide as participants arrive for training each morning.

- Welcome participants as they arrive for the class
- Thank them for coming

SAY: Welcome participants as they arrive for the class. Thank them for coming.



DO - Show slide 2

SAY: Now let's take a look at the topics for this lesson.

By completing this lesson, you will be able to:

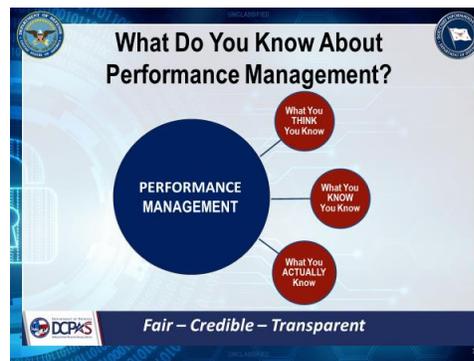
- Describe the relationship between performance management and the Department of Defense (DoD) mission and core values



Instructor Notes

- Understand the Pre-decisional involvement of the Labor Representatives in the development of the DoD Performance Management and Appraisal Program (DPMAP)
- Identify key performance management roles and responsibilities
- Recognize significant performance management features
- Characterize the DoD performance management model

Transition: Before we get into DPMAP let's check our assumptions about performance management.



DO - Show slide 3

SAY: You may be a little nervous about a performance management program. It's not what you're used to.

But the fact is you already know a lot about performance management.

You already have performance goals in your everyday work, you know your job, and you've talked with your supervisor about his or her expectations.

(Pause)

So let's jump right into this. What do you already know about performance management?

DO - (Turn to the class; and take hand-raised volunteers to respond to your question. Record key elements from each response on the flip chart.)

SAY: As you can see, performance management is not a new concept.

What is new is that this program was built to apply to the majority of employees across DoD and is focused, from its inception, on **including employees in the process**. And it's not trying to pull the rug



Instructor Notes

out from under you with a program that doesn't make sense. Instead, **the program empowers employees.**

It emphasizes the importance of supervisor-employee communication and engagement.

It helps both the supervisor and the employee be more successful and effective, which ultimately makes DoD more effective. The hope is it will make your work more engaging and make performance management a more meaningful process for you as an employee.



DO - Show slide 4

Optional: If the Component POC is able to obtain Provide Component, Command and Activity mission and goals in training, when possible and as applicable.

There is an entire handbook from OPM on aligning employee performance plans with organizational goals: A Handbook for Measuring Employee Performance: Aligning Employee Performance Plans with Organizational Goals.

The full report is available at:

https://www.opm.gov/policy-data-oversight/performance-management/measuring/employee_performance_handbook.pdf

SAY: Okay, before we go any further in DPMAP, let set the performance management stage by stating mission of the DoD.

The mission of the DoD is to provide the military forces needed to deter war and to protect the security of our country.

ASK: With the DoD mission in the back of your minds, do you know your organization's mission and strategic goals? Do you know your organization's mission and strategic goals? Do you know how your work directly contributes to those goals?



Instructor Notes

DO - (Pause- Facilitate a brief 6-10 minutes discussion with the participants.)

SAY: It is important that you understand how your work aligns with your organization's goals and priorities.

Understanding this alignment can make it easier for you to develop your performance elements and standards. It's important that everyone understands how their work fits into the organization's goals and priorities.

Alignment happens when you **understand how you are contributing and how your work helps your organization accomplish its mission.** Your organization's mission, function statement, and other strategic and project planning documents provide the basis and context for the work and its relationship to the greater DoD mission. **Establishing the "line of sight" is important because it underscores the importance of duties and how they support the organization.**

An effective performance management program links the organization mission to specific goals, links the goals to specific employee tasks, and then aligns the tasks at the employee's position and salary level. The linking process starts at the bottom and moves up the organizational structure to the individual. In this model, everyone's efforts are harnessed and directed toward the DoD Strategic Mission and Goals. Individuals know the importance of their efforts and how their work fits in with the work of others and the larger organization.

Pre-Decisional Involvement (PDI) of Labor Representatives and Program Development

- 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 DoD Performance Management and Appraisal Program with senior DoD leadership
- Nothing in DPMAP 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

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Logos: DCPKS, DoD Information Center, Department of Defense

DO - Show slide 5

SAY: Before we take a look at the performance management process, a quick word about local labor relations obligations.

Union representatives were directly involved in every step of designing this program.

The most important message about labor relations is that there is nothing in DPMAP that changes the rights of employees, unions, or management.



Instructor Notes

Unions believe the revised program will ultimately allow employees to be a bigger part of the program.

The program optimizes the ability of employees to take greater control of their career and to give their supervisor feedback about their career goals, ideas, and training needs.

The DoD Roundtable is a group of senior Department representatives from across the Components and union representatives from the 10 largest unions in the DoD. This group meets to discuss issues and policy changes that impact employees across the Department.



DO - Show slide 6

Say: Let's talk now about the performance management process.

Performance management is a strategic tool to increase individual success and accountability, achieve organizational goals, and improve operational efficiency. The official definition for our purposes comes from 5 CFR 430.102:

"Performance Management is the systematic process by which an Agency involves its employees, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of Agency mission and goals."

An effective performance management program helps supervisors recognize their employees' full performance potential by differentiating between high achievers and those requiring improvement, thereby assisting DoD in meeting its mission and goals.

Performance management should be a continuous process of communication, development, and results.

DPMAP is designed to actively encourage two-way communication between the supervisor and the employee throughout the performance appraisal cycle.

Each of the three phases in the process represents a continuum with events that must occur at certain points but may also occur throughout the performance appraisal cycle.



Instructor Notes

For example, performance plans are always developed at the beginning of the performance appraisal cycle but may be updated at any point to reflect changes in the organizational mission, team priorities, or employee duties. Let's talk about each phase in the process.

Planning performance is the critical **first phase** to a successful performance management process and is essential to achieving and sustaining a high-performance culture.

During planning, the supervisor establishes and clearly communicates performance expectations geared toward achieving organizational goals. Each performance plan identifies specific performance elements that have been established for the employee and for which the employee will be held accountable. Supervisors and employees share responsibility for planning performance.

In the **second phase, Monitoring performance**, supervisors are continually and consistently monitoring assignments and projects to measure performance and provide ongoing feedback to employees on progress toward reaching their goals. In addition to providing feedback whenever exceptional or ineffective performance is observed, supervisors should provide periodic feedback about day-to-day accomplishments and contributions.

During the monitoring phase, communication is critical and an important determinant of success of the employee and supervisor. For feedback to be effective, communication must be meaningful, two-way and be a joint responsibility of both supervisors and employees.

The **third phase, Evaluating performance** means rating employee performance against the performance elements and standards in an employee's performance plan and assigning a rating of record. Supervisors are required to rate each performance element based on an approved plan and provide a rating of record for each employee who has been under an approved performance plan for at least **90 calendar days** during the performance appraisal cycle.

A written rating of record must be given to each employee after the end of the performance appraisal cycle and is based on work performed during the performance appraisal cycle. DPMAP utilizes three performance rating levels: a 5 is "Outstanding," a 3 is "Fully Successful," and a 1 is "Unacceptable."

It's important to remember that this is not linear, performance management is an ongoing process. Supervisors are required to hold 3 documented performance discussions (the initial performance planning meeting, progress review, and the final performance appraisal discussion) during the performance appraisal cycle.

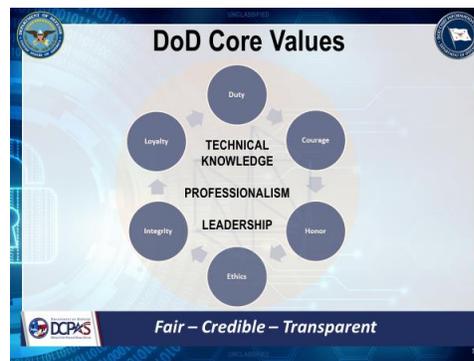
But the emphasis of this program is on continuous and timely planning, monitoring, and evaluating throughout the performance appraisal cycle. The goal for both supervisors and employees should be "no surprises" at the end of the performance appraisal cycle. The final performance appraisal discussion session should be a **culmination of discussions which have occurred throughout the performance appraisal cycle**. We are trying to de-emphasize the traditional final performance appraisal discussion as a capstone event, and instead emphasize a new culture of continuous communication.



Instructor Notes

Awards, both monetary and non-monetary, acknowledge, motivate, recognize and reward achievements or contributions and are an integral part of performance management. It happens throughout the performance appraisal cycle, so we don't consider it a phase.

It is important to recognize good performance and achievements throughout the performance appraisal cycle as they occur. It is important that recognition and rewards be granted in a timely manner—ideally, immediately after the recognizable action. Otherwise, the reward can lose its relevance and employees will not have a clear sense of what behavior or accomplishment is rewarded. Supervisors are encouraged to use non-monetary awards, especially when funds for monetary awards are limited and restricted.



DO - Show slide 7

Say: Let's talk now about DoD core values.

The DoD Core Values are **Technical Knowledge, Professionalism and Leadership.**

All three of these values are an integral part of DPMAP.

Let's closely examine the role of these core values.

ASK: How do the DoD core values of **Technical Knowledge, Professionalism and Leadership** fit into your workplace environment?

DO - (Pause-Facilitate a brief 10-15 minutes discussion/round robin with the participants on these three values. Since, there is no "right" answer, just let the participants drive the discussion...)



Instructor Notes



DO - Show slide 8

Say: The foundation of DPMAP, and one of the main factors for our success, is the values that create a culture of high performance.

You can think of culture as “the way things get done around here.” It is the workplace’s basic attitude and is deeply rooted in every aspect of everyday operations. Culture is an often overlooked aspect of performance management. Research indicates that high-performing companies have a culture that makes success and achievement a priority. In turn, this idea creates an environment and a workforce that embraces a shared commitment to high performance.

High-performing organizations have a culture that embraces values such as the importance of accountability and integrity at all levels, a focus on continuous learning and improving, an appreciation for the value of diversity and respect for the individuals that make up the organization, and knowledge of how to effectively communicate. It is important to note that these attributes and values cannot be mandated and instilled in an organization’s culture overnight; rather, they must evolve and are reinforced by policies and practices over time.

Let’s discuss the following foundational values that are essential to the success of our daily work.

Accountability

ASK: Who can describe accountability in terms of performance management?

DO - (Pause- Have a few of the participants with raised hands provide a response to the question...Then provide the below answer only re-iterating the key points from the lessons.)

Instructor Answer: We accept ownership of our actions and for our personal and professional behaviors. We honor our commitments to DoD mission and to each other. We practice good stewardship through the efficient and effective use of the resources entrusted to us by the American taxpayer.



Instructor Notes

Integrity

ASK: Who can describe integrity in terms of performance management?

DO - (Pause- Have a few of the participants with raised hands provide a response to the question...Then provide the below answer only re-iterating the key points from the lessons.)

Instructor Answer: We have the courage to do what is right both legally and morally. We hold ourselves to high ethical standards of behavior and conduct ourselves professionally.

Continuous Learning and Improvement

ASK: Who can describe continuous learning and improvement in terms of performance management?

DO - (Pause- Have a few of the participants with raised hands provide a response to the question...Then provide the below answer only re-iterating the key points from the lessons.)

Instructor Answer: We strive to deepen our understanding of our contributions, improve our skills, and develop our personal and professional competences in order to enhance our individual contributions.

Diversity

ASK: Who can describe diversity in terms of performance management?

DO - (Pause- Have a few of the participants with raised hands provide a response to the question...Then provide the below answer only re-iterating the key points from the lessons.)

Instructor Answer: We encourage the expression of individuality. We depend on each other's strengths, capabilities, and perspectives. We recognize that each member of a team or organization brings value to our work.

Communication

ASK: Who can describe communication in terms of performance management?

DO - (Pause- Have a few of the participants with raised hands provide a response to the question...Then provide the below answer only re-iterating the key points from the lessons.)

Instructor Answer: We strive for ongoing engagement and understanding to foster trusting relationships, and ensure awareness of roles and responsibilities. We honestly express concerns, share ideas, and provide meaningful feedback at all levels in our organization. We clearly communicate our vision and mission to internal and external customers.



Instructor Notes

Respect

ASK: Who can describe respect in terms of performance management?

DO - (Pause- Have a few of the participants with raised hands provide a response to the question...Then provide state the below answer only re-iterating the key points from the lessons.)

Instructor Answer: We have a shared interest in doing the best work we can. We act honorably, fairly, and treat each other with dignity. We encourage open communication between employees and supervisors. We value continuous feedback and recognition of a job well done.



DO - Show slide 9

SAY: HR Practitioners have a unique set of responsibilities within the performance management process. While you are not responsible for implementing performance management, it is your job to act as a resource for those around you.

HR Practitioners act on behalf of the agency to:

- **Protect the agency's interests**
- **Ensure that actions taken are consistent with statute, regulation, and case precedent**
- **Understand the authorities for performance management**

While working with the supervisors/managers, remember that you are there as a facilitator to the management. You are there to assist the supervisor/manager, not to do their work for them. Some examples of this support include:

- **Delivering and interpreting performance management policy to the supervisors/managers**



Instructor Notes

- **Helping supervisors/managers address issues that may come up during the performance management process**
- **Providing counsel and support to supervisors/managers**
- **Sharing good practices such as documentation with supervisors/managers**
- **Advising supervisors/managers on proper actions**

One part of protecting the agency's interests involves using all of the resources at your disposal. You need to interact with other HR Practitioners and should rely on your Labor and Employee Relations Specialist. You may be asked to share and find more information with:

- **Inquiry and Unemployment Compensation (ICUC)**
- **Equal Employment Opportunity (EEO)**
- **Alternative Dispute Resolution services (ADR)**
- **Employee Relations (ER)**
- **Employee Assistance Program (EAP)**
- **Labor Relations (LR)**
- **Higher level management**
- **Office of staffing**
- **Personnel records system**

Key Performance Management Features					
	3	<table border="1"><tr><td>5</td></tr><tr><td>3</td></tr><tr><td>1</td></tr></table>	5	3	1
5					
3					
1					
Performance Appraisal Cycle April 01 Through March 31	Minimum of THREE Performance Discussions are Required BUT MORE RECOMMENDED	Three-Level Rating Pattern Outstanding (5) Fully Successful (3) Unacceptable (1)			

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DO - Show Slide 10



Instructor Notes

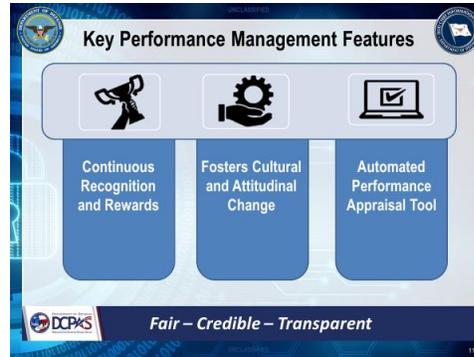
SAY: Now that we have introduced the key levels, let's review key performance managements features requirements of DPMAP.

The performance appraisal cycle runs from April 1 through March 31 of the following calendar year, and the rating of record is effective June 1.

A minimum of three formal documented performance discussions is required during the performance appraisal cycle, but more are strongly encouraged. There is a strong emphasis in DPMAP on continual feedback throughout the performance appraisal cycle.

DPMAP is characterized by a **three-level rating pattern**: (5) Outstanding, (3) Fully Successful, and (1) Unacceptable that includes:

- Clearly developed performance elements and standards linked to organizational goals
- Descriptive narratives that show distinctions in performance
- Documented performance that informs other personnel decisions



DO - Show Slide 11

SAY: Other features of the program are:

- Continuous recognition and rewards;
- Fostering of cultural and attitudinal change; and
- Automated performance appraisal tool (My Performance Tool).

Continuous recognition and rewards are highly recommended, and include both monetary and non-monetary awards.



Instructor Notes

The key theme here is that recognizing and rewarding employees does not only happen at the end of the performance appraisal cycle; it should happen throughout the performance appraisal cycle.

The program focuses on **fostering cultural and attitudinal changes** regarding performance management.

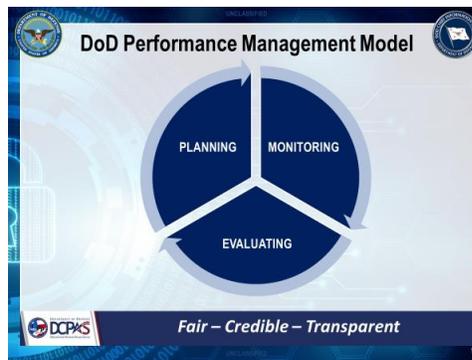
This effort will require a positive message that change is important—and that all levels of the organization support this need for change.

Ensuring DoD has a culture that facilitates employee engagement and high performance requires senior DoD leadership to wholeheartedly embrace, communicate, and model the attributes necessary for a high-performance culture to develop and succeed. Because culture and employee engagement are vital in the creation and sustainment of a high-performing workforce, DoD must begin the change to any proposed performance management program by examining these cultural attributes and engagement themes to determine DoD's performance strengths and weaknesses. Cultural change will take a lot of time and work.

Finally, DPMAP implements DoD's automated performance appraisal tool, MyPerformance, located on MyBiz+. For more information on the tool go to the DCPAS New Beginnings Website, Defense Performance Management and Appraisal Program link and select the "MyPerformance Tool Guide".

<https://www.cpms.osd.mil/Content/Documents/MyPerformanceToolGuide.pdf>

ASK: Are there any questions about these program requirements?



DO - Show Slide 12

SAY: So let's now take a look at the DoD Performance Management Model.

The DoD Performance Management Model is comprised of three phases: **1) Planning, 2) Monitoring, and 3) Evaluating.**



Instructor Notes

Planning Phase - During the Planning Phase, supervisors set performance expectations for the performance appraisal cycle and meet with their employees to ensure mutual understanding of the performance plan.

Monitoring Phase - The Monitoring Phase is all about providing ongoing, timely, and constructive feedback to employees related to the performance elements in their plan.

Evaluating Phase – The Evaluating Phase is the end of the performance appraisal cycle, and requires supervisors to rate employee performance against the performance elements and standards in an employee’s performance plan and assign a rating of record.

If you would like additional information the procedures during each phase of our new performance management system, please visit the DCPAS New Beginnings Website and participate in either the classroom or online DPMAP training courses.

Lesson Review

- You should now be able to:
 - Describe the relationship between performance management and the Department of Defense (DoD) mission and core values
 - Identify key performance management roles and responsibilities
 - Recognize significant performance management features
 - Characterize the DoD performance management model

DCPKS Fair – Credible – Transparent

DO - Show Slide 13

SAY: Before we take a short break, let’s sum up what we just covered.

ASK: How does performance management link to DoD mission and goals?

DO - (Pause- Have a few of the participants with raised hands provide a response to the question...Then provide the below answer only re-iterating the key points from the lessons.)

Instructor Answer: A successful performance management program aligns the work with the DoD’s and organization’s mission and goals. Alignment happens when you understand how you are contributing and how your work helps your organization accomplish its mission, which contributes to the overall success of the DoD. Your organization’s mission, function statement, and other strategic and project planning documents provide the basis and context for the work and its relationship to the greater DoD mission. Establishing the “line of sight” between your work and DoD’s mission and goals is important because it underscores the importance of your duties and how you support the organization.



Instructor Notes

ASK: What are the three phases of the performance management process?

DO - (Pause- Have a few of the participants with raised hands provide a response to the question... Then provide the below answer only re-iterating the key points from the lessons.)

Answer: DPMAP consists of **three phases: Planning, Monitoring, and Evaluating**, with rewarding and recognizing as an activity consistently applied throughout the performance appraisal cycle.

ASK: What are the DoD core values?

DO - (Pause- Have a few of the participants with raised hands provide a response to the question... Then provide the below answer only re-iterating the key points from the lessons.)

Answer: Leadership, professionalism, and technical knowledge through dedication to duty, integrity, ethics, honor, courage, and loyalty.

ASK: What are the two key performance management roles?

DO - (Pause- Have a few of the participants with raised hands provide a response to the question... Then provide the below answer only re-iterating the key points from the lessons.)

Instructor Answer: Employees and supervisors.

You should now be able to:

- Describe the relationship between performance management and the Department of Defense (DoD) mission and core values
- Identify key performance management roles and responsibilities
- Recognize significant performance management features
- Characterize the DoD performance management model

DO - (Pause)

- We're going to take a very short break before we jump into the next lesson.

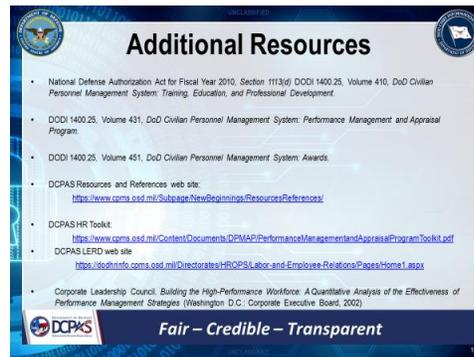


Instructor Notes



DO - Show Slide 14

Say: Before we break, are there any last questions?



DO - Show Slide 15

SAY: Here are some additional resources and learning tools.

DO - (Give participants a chance to look over the list of resources.)



Instructor Notes



DO- Show Slide 16

SAY: These words represent the key messages that embody the key attributes of New Beginnings - Performance, Mission, Communication, Excellence, etc.

Let's take a 10-minute break. And then after the break we will immediately begin our next lesson.



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