

Managing Performance

Participant Guide

NPS Technology Enhanced Learning (TEL)

Revised December 12, 2002



Welcome

Welcome to this TEL (Technology Enhanced Learning) training event. We are excited that you will be joining us today for Leave Administration: The Mystery Unraveled and look forward to helping you get as much out of this time as possible.

Your classroom today is not very large, 125 or fewer students from as many as forty different locations across the NPS. We purposely keep the class size small to assure that if you have a question, there is time to get it answered. Don't hesitate to ask, if you have a question, there are probably several others in the class who have the same question – you might as well be the one to ask. It is our goal that you leave class today with no unanswered questions.

How to Interact with the Instructor

We encourage you to ask questions and share your comments with the instructor(s) throughout this TELNPS course. If you were physically in the classroom with the instructor, you would raise your hand to let her/him know you had a question or comment. Then you would wait for the instructor to recognize you and ask for your question. We are all familiar with that “protocol” for asking questions or making comments.

With TELNPS courses, there is also a “protocol” to follow to ensure you can easily

ask questions and others can participate as well. It may seem a little strange at first asking a question of a TV monitor. Remember, it is the instructor you are interacting with and not the monitor. As you ask more questions and participate in more TELNPS courses, you will soon be focusing only on the content of your question and not the equipment you are using to ask it.

As part of the TEL station equipment at your location, there are several push to talk microphones. Depending on the number of students at your location, you may have one directly in front of you or you may be sharing one with other students at your table.

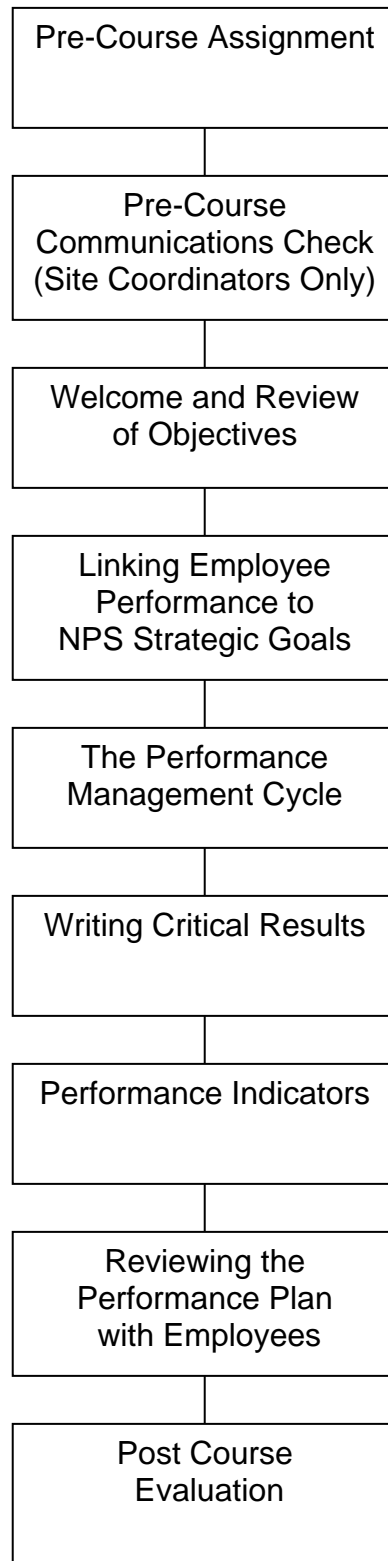
When you have a question, press and hold down the push to talk button maintaining at distance at least 12-18 inches and say,

“Excuse me [instructor’s first name], this is [your first name] at [your location]. I have a question (or I have a comment).”

Then release the push to talk button. This is important. Until you release the button, you will not be able to hear the instructor.

The instructor will acknowledge you and then ask for your question or comment. Stating your name and location not only helps the instructor, but also helps other students who are participating at different locations to get to know their classmates.

Course Map



Course Objectives**Notes**

After completing this course, you should be able to –

1. Describe the process of linking employee performance to NPS strategic goals.
2. Identify an NPS goal that is supported by the products or services that your work unit produces.
3. Describe the yearly NPS performance management cycle.
4. List the timeline required for implementation of an employee's performance plan, frequency of counseling required during the rating period and timeline for completing evaluation of performance after the rating period ends.
5. Define critical result.
6. List the characteristics of a well written critical result using the acronym SMART.
7. Write a critical result that meets the SMART criteria.
8. Define a performance indicator.
9. Explain the role of performance indicators in the performance plan.
10. List those items of the performance plan to be reviewed with the employee.
11. Explain how to document meeting with an employee about her performance plan.

Linking Employee Performance to the NPS Mission

Notes

What is one of the NPS strategic goals or your park's goals that you feel strongly about and value contributing to?

Why do you feel strongly about it?

Five steps to linking employee performance to the NPS strategic goals:

1. Review NPS and park organizational goals, strategic plans, and annual plans.
2. Identify the goals in the NPS and park strategic plans/annual plans that are supported by the products or services that your work unit produces.
3. Determine what each individual employee produces from the list of products and services your work unit produces.
4. Determine which products or services an individual employee produces are major components of the employee's job.
5. Write critical results for each employee focusing on the major accomplishments he is responsible for producing.

These steps are excerpted from Guide to Individual Performance Planning and Linking Individual Performance to Organizational Goals (May 1999)

Linking Employee Performance to the NPS Mission

Notes

Review the NPS Goals at a Glance at Appendix A (pages 11-14) in the back of this guide. Which goals are supported by the products or services that your work unit produces?

Of the products or services your work unit produces, identify products or services that an individual employee that you supervise produces:

The Annual Performance Management Cycle – Room for Improvement?

Read each statement below and rate how consistent you are in performing the actions described.

1. I meet with each employee I supervise within 60 days after the beginning of the yearly performance cycle to discuss her performance plan.

Never 1 2 3 4 5 Always

2. I conduct two progress reviews with each employee between the initial annual planning session and the end of the rating period.

Never 1 2 3 4 5 Always

3. I complete the employee's annual performance rating within 60 days following the end of the rating period.

Never 1 2 3 4 5 Always

4. I document the initial performance plan discussion, the progress reviews and the annual rating discussion on the DI-2002.

Never 1 2 3 4 5 Always

5. I ensure that the original rating of record is included in the Employee's Performance File and a copy of the rating is provided to the employee

Never 1 2 3 4 5 Always

What do you think...

What are some of the challenges supervisors face that get in the way of following through the way they would like to with employees during the annual performance management cycle?

What suggestions do you have for anticipating and overcoming those challenges?

Critical Results**Notes**

A critical result is a mission based outcome or end product that is essential to overall success in the position.

Critical results must be written so they are SMART.

S _____
 M _____
 A _____
 R _____
 T _____

Review each of the examples of critical results below. Determine whether it is or is NOT a well written critical result. If it is not, then rewrite the example so that it IS a well written critical result.

1. Conducts investigations of all appropriate violations/crimes of Federal and State law. Provides emergency service, i.e. Fire, EMS, SAR, etc. Conducts regular patrols of park. Cooperates with outside agencies in accordance with MOUs.
2. The quality of the visitor experience is ensured through daily trash collection and litter pickup in developed areas.
3. Contributes to visitor understanding and appreciation of the significance and meaning of the park's natural and cultural resources.
4. Incumbent will rove information plaza and interact with visitors to facilitate orientation and information regarding recreational opportunities and services to maximize enjoyments of park.
5. All restrooms and chemical toilets at park are maintained in a clean, sanitary, and well stocked condition. All applicable health standards are applied. 75% of visitors using facilities rate them as "good" or "very good."

Performance Indicators**Notes**

Performance indicator means a statement of the performance expectations or requirements necessary for achieving the critical results of the position.

Reviewing the Performance Plan with the Employee

1. Solicit input from the employee prior to meeting.
2. Communicate expectations of employee performance through discussion of critical results and performance indicators.
3. Discuss how performance in each critical result will be monitored and measured.
4. Describe the employee's role in the overall organization and the importance of his work to the accomplishment of organizational goals.
5. Sign off with the employee on the Performance Plan (Part IV on the DI-2002).
- 6. *Listen and address any questions the employee may have throughout the meeting.***

Check List for Developing Critical Results by Linking Performance to NPS Mission	Notes
<p>_____ 1. Obtain copy of DOI/NPS/Park GPRA goals; review to see the "Big Picture" and then narrow down.</p> <p>_____ 2. Identify the National Park Service GPRA Goal(s) that relate to your Park's GPRA goals.</p> <p>_____ 3. Identify the Park's goal(s) that relate to your Division's or Section's products and services.</p> <p>_____ 4. Identify the employee's major duties that relate to the performance goals.</p> <p style="padding-left: 20px;">a. Must be mission essential</p> <p style="padding-left: 20px;">b. Separate <u>must</u> be done from <u>nice to do</u></p> <p>_____ 5. Determine the results you want achieved</p> <p style="padding-left: 20px;">a. Why do you need these results achieved? This will help tie results to GPRA goals.</p> <p style="padding-left: 20px;">b. How can they be measured?</p> <p style="padding-left: 20px;">c. Are they realistic and achievable?</p> <p>_____ 6. Write the Critical Result (CR)</p> <p style="padding-left: 20px;">a. Must be Specific, Measurable, Achievable, Realistic, and Timely</p> <p style="padding-left: 20px;">b. SMART criteria is different than the Performance Indicators. They are part of the CR.</p> <p style="padding-left: 20px;">c. If CR is a long-term one, break it into realistic/achievable parts; update annually</p> <p style="padding-left: 20px;">d. Look for the final outcome or results, not the activities to get to the outcome.</p> <p style="padding-left: 20px;">e. Remember to limit number of outcomes in each CR as <u>all parts</u> of the CR must be met to sustain "Results Achieved."</p> <p>_____ 7. Identify the Performance Indicators (quality, teamwork, & customer service) that are appropriate to the CR.</p>	

Definitions	Notes
<p>Position Description (PD) The "what" of the critical result. It provides an overview of duties, skills and knowledge needed to perform the duties.</p> <p>Critical Results Final mission-based outcome or end product that is essential to overall successes in the position and is based on the SMART criteria</p> <p>Performance Standards Identifies results expected; explains how and when</p> <p>Performance Indicators Identifies how well (Quality, Teamwork, and Customer Service) the Critical Results must be achieved.</p> <p>Performance Appraisal Explains whether or not each critical result is met. Measures success.</p> <p>GPRA Goals: Category I: Preserve Park Resources Category II: Public enjoyment and Visitor Experience Category III: Preserve Natural/Cultural Resources & Enhance Recreational Opportunities Category IV: Organizational Effectiveness</p>	

Post Course Assignment**Notes**

1. Complete the online evaluation for this course. The evaluation is found at www.telmps.net/performance/eval.htm
2. You will be e-mailed a certificate of completion for this course within 15 days after the above post course assignment is completed.

Helpful Web Links

NPS Strategic Plan

<http://www.nps.gov/performance>

Click on 'Support' to the left side of screen

Click on "latest performance plan" **or**

On the right side of page is an "I" and under it are the words "find it" in a box; click on down arrow to search for plan sought

Also at this website you will find the Instructional book:
Guide to Individual Performance Planning and Linking Individual Performance to Organizational Goals
(May 1999)

Form DI-2002

<http://www.nps.gov/renew/forms.htm>

scroll down to find form

Appendix A

National Park Service Goals at a Glance		
DOI Goals	NPS Category	NPS Mission Goals
DOI Goal 1: Protect the Environment and Preserve Our Nation's Natural and Cultural Resources	Goal Category I: Preserve Park Resources	Ia. Natural and cultural resources and associated values are protected, restored, and maintained in good condition and managed within their broader ecosystem and cultural context.
		Ib. The National Park Service contributes to knowledge about natural and cultural resources and associated values; management decisions about resources and visitors are based on adequate scholarly and scientific information.
DOI Goal 2: Provide Recreation for America	Goal Category II: Provide for the Public Enjoyment and Visitor Experience of Parks	IIa. Visitors safely enjoy and are satisfied with the availability, accessibility, diversity, and quality of park facilities, services, and appropriate recreational opportunities.
		IIb. Park visitors and the general public understand and appreciate the preservation of parks and their resources for this and future generations.
DOI Goal 1: Protect the Environment and Preserve Our Nation's Natural and Cultural Resources DOI Goal 2: Provide Recreation for America	Goal Category III: Strengthen and Preserve Natural and Cultural Resources and Enhance Recreational Opportunities Managed by Partners	IIIa. Natural and cultural resources are conserved through formal partnership programs

Government Performance Results Act

	NPS Long-term Goals: By September 30, 2005
	<p>Ia1. Disturbed Lands/Exotic Plant Species: Ia1A — 10.1% of targeted parklands, disturbed by development or agriculture as of 1999 (22,500 of 222,300 acres) are restored; and Ia1B — exotic vegetation on 6.3% of targeted acres of parkland (167,500 of 2,656,700) acres is contained.</p> <p>Ia2. Threatened and Endangered Species: Ia2A — 19% of the 1999 identified park populations (84 of 442) of federally listed threatened and endangered species with critical habitat on parklands or requiring NPS recovery actions have improved status; and Ia2B — an additional 18.1% (80 of 442) have stable populations.</p> <p>Ia2X. Native Species of Special Concern: [Park-determined percentage of] populations of plant and animal species of special concern (e.g., state-listed threatened or endangered species, endemic or indicator species or native species classified as pests) are at scientifically acceptable levels. Optional Goal.</p> <p>Ia3. Air Quality: Air quality in 70% of reporting park areas has remained stable or improved.</p> <p>Ia4. Water Quality: 85% of 265 Park units have unimpaired water quality.</p> <p>Ia5. Historic Structures: 50% (12,113 of 24,225) of the historic structures listed on the 1999 List of Classified Structures are in good condition.</p> <p>Ia6. Museum Collections: 73.4% of preservation and protection standards for park museum collections are met.</p> <p>Ia7. Cultural Landscapes: 33.1% of the 2,067 cultural landscapes on the 1999 Cultural Landscapes Inventory with condition information are in good condition (119 of 359).</p> <p>Ia8. Archeological Sites: 50% of the recorded archeological sites with condition assessments are in good condition (FY 1999 baseline: 7,470 of 14,940).</p> <p>Ia9. Geological Resources: Ia9A — Paleontological Resources: 20% of known paleontological localities in parks are in good condition; and Ia9B — Cave Floors: 72,500 square feet of cave floors in parks are restored.</p>
	<p>Ib1. Natural Resource Inventories: Acquire or develop 87% (2,203) of the 2,527 outstanding data sets identified in 1999 of basic natural resource inventories for all parks.</p> <p>Ib2. Cultural Resource Baselines: Ib2A — Archeological sites inventoried and evaluated are increased by 30% (from FY99 baseline of 48,188 sites to 62,644); Ib2B — Cultural landscapes inventoried and evaluated at Level II are increased by 136.4% (from FY99 baseline of 110 to 260); Ib2C — 100% of the historic structures have updated information (24,225 of FY99 baseline of 24,225); Ib2D — Museum objects cataloged are increased by 35.9% (from FY99 baseline 37.3 million to 50.7 million); Ib2E — Ethnographic resources inventory is increased by 634.5% (from FY99 baseline 400 to 2,938); and Ib2F — 31% of parks have historical research that is current and completed to professional standards (117 of 379 parks).</p> <p>Ib3. Vital Signs: 80% of 265 parks with significant natural resources have identified their vital signs for natural resource monitoring.</p> <p>Ib4. Geological Resources: Geological processes in 53 parks (20% of 265 parks) are inventoried and human influences that affect those processes are identified.</p> <p>Ib5. Aquatic Resources: The NPS has completed an assessment of aquatic resource conditions in 265 parks.</p>
	<p>Iia1. Visitor Satisfaction: 95% of park visitors are satisfied with appropriate park facilities, services, and recreational opportunities.</p> <p>Iia2. Visitor Safety: The visitor accident/incident rate will be at or below 7.96 per 100,000 visitor days (a 16% decrease from the FY 1992–FY 1996 baseline of 9.48 per 100,000 visitor days)</p>
	<p>Iib1. Visitor Understanding and Appreciation: 86% of visitors understand and appreciate the significance of the park they are visiting.</p> <p>Iib1X. Educational Programs: [Park determined percentage] of [park determined target number] of students participating in NPS formal educational programs understand America’s cultural and natural heritage as preserved by the National Park Service and its Programs. Optional Goal.</p>

IIIa1. Properties Designated: IIIa1A — National Historic Landmark Designations: An additional 6.6% (150) properties are designated as National Historic Landmarks (2,277 to 2,427); IIIa1B — National Register Listings: An additional 11% (7,800) significant historical and archeological properties are listed in the National Register of Historic Places (71,019 to 78,819); IIIa1C — Federal Agency Inventories: An additional 30.2% (221,800) significant archeological properties in Federal ownership are inventoried and evaluated (733,200 to 955,000 contributing properties); IIIa1D — State/Tribal/Local Inventories: An additional 19.7% (925,000) significant historical and archeological properties are either inventoried and evaluated, or officially designated by States, Tribes, and Certified Local Governments (4,701,000 to 5,626,000 contributing properties); and IIIa1E — National Natural Landmarks Designated: The number of National Natural Landmarks is increased by 10% (59) from the 1998 level (587 to 646).

National Park Service Goals at a Glance

DOI Goals	NPS Goal Category	NPS Mission Goals
<p>DOI Goal 1: Protect the Environment and Preserve Our Nation's Natural and Cultural Resources</p> <p>DOI Goal 2: Provide Recreation for America</p>	<p>Goal Category III: Strengthen and Preserve Natural and Cultural Resources and Enhance Recreational Opportunities Managed by Partners</p>	<p>IIIa. Natural and cultural resources are conserved through formal partnership programs.</p>
		<p>IIIb. Through partnerships with other federal, state, and local agencies and nonprofit organizations, a nationwide system of parks, open space, rivers, and trails provides educational, recreational, and conservation benefits for the American people.</p>
		<p>IIIc. Assisted through federal funds and programs, the protection of recreational opportunities is achieved through formal mechanisms to ensure continued access for public recreational use.</p>
	<p>Goal Category IV: Ensure Organizational Effectiveness</p>	<p>IVa. The National Park Service uses current management practices, systems, and technologies to accomplish its mission.</p>

		<p>IVb. The National Park Service increases its managerial capabilities through initiatives and support from other agencies, organizations, and individuals.</p>
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	NPS Long-term Goals: By September 30, 2005
	<p>IIIa2. Properties Protected: IIIa2A — National Historic Landmark Protection: 90% of National Historic Landmarks (2,184 of 2,427 designated landmarks) are in good condition; IIIa2B — Federal Protection: 1% of federally recognized historical and archeological properties (19,700 of 2,223,000 contributing properties) are protected through NPS administered programs or assistance; IIIa2C — State/Tribal/Local Protection: 3% of significant historical and archeological properties (140,000 of 4,681,000 contributing properties) recognized by States, Tribes, or certified local governments are protected through their administered programs or assistance; and IIIa2D — National Natural Landmarks Protection: The number of damaged or threatened National Natural Landmarks is reduced by 7% based on level of reduction achieved in 1998.</p> <p>IIIa3. Customer Satisfaction: 90% of users are satisfied with historic preservation-related technical assistance, training, and educational materials provided by NPS.</p> <p>IIIaX. Park Partnerships: The number of satisfactorily completed projects under formal agreements that assist partners in protecting their resources or serving their visitors is increased by [park-determined percentage]. Optional Goal.</p>
	<p>IIIb1. Conservation Assistance: An additional 4,200 miles of trails, an additional 6,600 miles of protected river corridor, and an additional 223,200 acres of park and open space, over the 1997 totals, are conserved with NPS partnership assistance.</p> <p>IIIb2. Community Satisfaction: 85% of communities served are satisfied with NPS partnership assistance in providing recreation and conservation benefits on lands and waters.</p>
	<p>IIIc1. Recreational Properties: 100% of the 34,602 recreational properties assisted by the Land and Water Conservation Fund, the Urban Park and Recreation Recovery Program, and the Federal Lands to Parks Program are protected and remain available for public recreation.</p>
	<p>IVa1. Data Systems: 66% (25 of 38) of the major NPS data systems are integrated/interfaced.</p> <p>IVa2. Workforce Stewardship: IVa2A — 75% of NPS employees are satisfied with their job (as measured through employee satisfaction surveys); and IVa2B — 75% of NPS employees believe the organization is functioning effectively (as measured through customer service and organizational effectiveness surveys).</p> <p>IVa3. Workforce Development and Performance: IVa3A — 100% of employee performance agreements are linked to appropriate strategic and annual performance goals and position competencies; IVa3B — 95% of NPS employees demonstrate that they fully meet their competency requirements.</p> <p>IVa4. Workforce Diversity: Increase the Servicewide representation of underrepresented groups over the 1999 baseline: IVa4A — by 25% in the 9 targeted occupational series in the permanent workforce; IVa4B — by 25% of women and minorities in the temporary and seasonal workforce;</p> <p>IVa4C — by 10% of individuals with disabilities in the permanent workforce; and IVa4D — by 10% of individuals with disabilities in the seasonal and temporary workforce.</p> <p>IVa5. Employee Housing: 50% of employee housing units listed in poor or fair condition in 1997 assessments are rehabilitated to good condition, replaced, or removed.</p> <p>IVa6. Employee Safety: IVa6A — The NPS employee lost time injury rate will be at or below 4.49 per 200,000 labor hours worked (100 FTE); and IVa6B — the Servicewide total number of hours of Continuation of Pay (COP) will be at or below 51,100 hours.</p> <p>IVa7. Line Item Construction: 100% of line item projects funded by September 30, 1998, and each successive fiscal year, meet 90% of cost, schedule, and construction parameters.</p> <p>IVa8. Land Acquisition: The average time between the appropriation and offer of just compensation is 171 days (a 5% decrease from 1997 level of 180 days).</p> <p>IVa9. Environmental Leadership: IVa9A — 100% of NPS units will undergo an environmental audit to determine baseline performance by September 30, 2002; and IVa9B — 100% of parks/offices and concessions operations have fully implemented the regulatory recommendations arising from environmental audits, resulting in more sustainable planning and operations.</p>
	<p>IVb1. Volunteer Hours: Increase by 44.7% the number of volunteer hours (from 3.8 million hours to 5.5 million hours).</p> <p>IVb2. Donations and Grants: IVb2A — Cash donations are increased by 3.6% (from \$14,476,000 in 1998 to \$15,000,000); IVb2B — Value of donations, grants, and services from Friends Groups and other organizations is increased to \$50,000,000; and IVb2C — Value of donations, grants, and services from Cooperating Associations is increased by 35% (from \$19,000,000 in 1997 to \$25,600,000).</p>

IVb3. Concession Returns: Returns from park concession contracts are 10% of gross concessioner revenue.

IVb4. Fee Receipts: Receipts from park entrance, recreation, and other fees are increased by 33.1% over 1997 level (from \$121,000,000 to \$161,000,000).

IVbX. Park Partnerships: The number of projects satisfactorily completed by partners under formal agreement that protect park resources or serves the park visitors is increased by [park-determined percentage]. Optional Goal.

Appendix B - Performance Management System

Documents Currently In Use

5 CFR 430
 DOI, NPS, Performance Management System Resource Book, dated December 1995
 DOI, MANUAL, 370 DM 430, dated 12/95 (in Resource Book)
 NPS Manual, NPS FPM 430.1, Release NO. 86, dated 6/29/90

Who Is Covered

All employees except presidential appointees, senior executive service Members, employees outside u.s. paid with local native prevailing wage Rates, administrative law judges, and employees in excepted service Positions not to exceed 90 days

Appraisal Period

October 1 through September 30

Appraisal Form

Only acceptable form is Form DI-2002, dated December 1998

Revised to add new description of what performance indicators are and their intended relationship to a "results achieved or not achieved" rating of record.

Elements of Employee Performance Plan

Critical results: Final mission-based outcomes or end products that are essential to overall successes in the position and are based on the SMART criteria

One to 5 of the most important results required by the position
 Must be individually-based.
 Identified at beginning of rating period by employee and rating official.
 Must be in place 60 days after the beginning of the rating period and employee; must be under the same critical results for at least 90 days before summary rating may be given.
 Must be tied to the Government Performance and Results Act (GPRA).

Performance Indicators: Generic quality, teamwork and customer service performance measures. These indicators tell the rating official and employee what is important to successful performance in each critical result.

Clarification on performance indicators indicates that: "Generally, an employee will not be rated as "Results Not Achieved" in the critical result to which a particular performance indicator applies where there is only one failure in that performance indicator. It follows, of course, that a repetition of failures in a single performance indicator can be the basis for "Results Not Achieved" rating for the critical result if, in the rating official's judgment, the critical result was not met overall. There may be situations where a single, particularly significant failure to maintain the level performance expected in a particular performance indicator could warrant a determination that the employee will receive a "Results Not Achieved" for the applicable critical results. A significant failure could include, for example, harm to persons or property, a loss of a great amount of money or resources, or a breach of security."

- **Quality Indicators:** Knowledge of field or profession; accuracy and thoroughness of work; judgment and decisions; effectiveness of written documents; effectiveness of communications; timeliness of meeting deadlines; effectiveness of supervision.
- **Teamwork Indicators:** Participation; leadership; cooperation
- **Customer Service Indicators:** Quality of service; timeliness of service; courtesy
- **Progress Reviews:** Purpose is to improve communications between rating official and employee concerning performance expectations and results. Two reviews are required during the rating period.
- **Summary Rating:** Assigned by the rating official at the end of the rating period. Will be either "results achieved" or "results not achieved" or "not rated"
- "Results achieved" summary rating does not require narrative comments.
- "Results not achieved" rating is given if the employee does not meet the performance expectations for one or more critical results. It does require a narrative summary of the rating. Procedures set forth in 5 CFR 432 must be followed to initiate the performance improvement efforts.
- **Certification:** Signed by employee and rating official at beginning of rating period and at end of rating period. Employee and supervisor also initial form in part "ii" during tee progress reviews. Reviewing official signs and approves only if a "results not achieved" summary rating is given to the employee

Reconsideration of a Summary Rating:

- For employees not covered by a collective bargaining agreement:
 - Employee who is dissatisfied with a rating of record must request consideration within 15 days of receipt of the rating
 - Request must be in writing and must state the basis for the request
 - Must be submitted to the appropriate management official, which is usually the next higher level supervisor who is not involved in rating process
 - Decision by appropriate management official is final and binding and there is no further right of review in the performance management process
- A summary rating may not be grieved under the DOI grievance procedures.

- For Employees Covered By Collective Bargaining Agreements:

- If agreement provides reconsideration of summary rating, the procedure of the agreement must be used
- If agreement does not provide reconsideration of summary rating, the employee who is dissatisfied with a summary rating may request reconsideration as discussed above for employee not covered by a collective bargaining agreement
- Equal Employment Opportunity and prohibited personnel practice complaint procedures apply to ratings of records in the same manner as they apply to other matters.

Employee responsibilities:

- Participate in determining critical results and related performance indicators (Performance Plan)
- Understand and seek clarification
- Manage own performance and wherever possible, seek feedback
- Participate in performance discussions and take action to improve performance

Rating Official Responsibilities:

- Write performance plan with employee input
- Monitor employee performance
- Communicate with employee
- Conduct progress reviews (at least two annually)
- Whenever possible, obtain and use feedback
- Assist employee to improve performance
- Prepare and discuss summary rating with employee
- Take remedial action when warranted

Reviewing Official Responsibilities:

- Review and approve "results not achieved" summary ratings

Feedback:

- Should be obtained by employee and rating official
- Sources of feedback: employees, customers, team members, and other knowledgeable individuals
- Can be used in progress reviews and ratings

Linking To Other Personnel Actions:**- Career Ladder Promotions**

Requires a "Results Achieved" summary rating

Within-Grade Increases (WIGI)

Granted to employees with a current "results achieved" summary rating

Not granted to employees with a current "results not achieved" summary rating until performance improves

To a "results achieved" level

Quality Step Increase (QSI)

- Only award directly linked to performance
- Must have a "results achieved" summary rating plus additional justification detailing performance meriting a QSI

Training and Development

Performance plan, progress reviews and summary rating provide a basis and an opportunity to determine if training could improve or enhance employees performance

Reduction-in-Force (RIF)

- 12 years of service credit for "result achieved summary rating
- No service credit for "results not achieved" summary

Dealing With Unacceptable Performance

Unacceptable performance should be discussed with the employee whenever it occurs during the rating period. It can be given as an oral counseling session, written counseling session, during the progress reviews orally and in writing, or a written warning. In all of these forms, the supervisor should clearly:

- Identify deficiencies;
- Provide information on how to improve;
- Offer help and assistance;
- Identify training opportunities to meet needs;
- And, in the case of a written warning, explain that failure to improve could lead to more severe measures

If none of the above actions encourage the employee to improve performance, supervisor should:

- Contact their Human Resources Office to ensure proper measures are taken;
- Give the employee a summary rating of "results not achieved;"
- Prepare a Performance Improvement Plan (PIP) for the employee
- Give the employee an opportunity to improve in conjunction through implementation of the PIP
- Continue to offer encouragement and assistance during PIP and improvement period
- Strictly follow the plan developed in the PIP and remember to do all tasks identified (i.e., offering help, meeting with employee on regular schedule, recording in written memos the meetings with employee, and providing a copy to employee, etc.)

If performance does not improve to a "results achieved" rating level and the performance improvement period has ended, supervisor, should:

- Consider 3 options: reassignment to another position where success might be achieved, change to lower graded position, or removal from the service for failure to perform assigned duties.

For **reassignments**, employee must be informed in writing of decision to reassign, given a new position description, performance plan, and training if necessary

For **change to lower grade** where pay is decreased or for **removal actions**, employee is entitled to:

- At least 30 calendar days advance written notice
- Review the material on which the notice is based
- A reasonable amount of official time in duty status, for reviewing the evidence that supported the proposal, preparing a written reply, securing affidavits, and making an oral reply. Copies of materials should also be provided if requested
- Representation by an attorney or other person
- A written decision stating the outcome of specifications in the proposed notice
- Appeal the decision to the Merit Systems Protection Board or use the negotiated grievance procedures, if applicable. Employee is entitled to one, but not both of these processes and redress