



The Department of Interior Five Level Performance Management System

Participant Guide





Welcome

Welcome to this TEL (Technology Enhanced Learning) training event. We are excited that you will be joining us today for *The Department of the Interior Five-Level Performance Management System*, and we look forward to helping you to get as much out of this time as possible.

How To Interact with the Instructor

We encourage you to ask questions and share your comments with the instructors in this TELNPS course. The instructors may ask that questions be held until designated question and answer periods due to the volume of material to be covered and the large number of students in the classroom for this broadcast. The instructors will let you know when the designated question and answer periods are so you can ask your questions then.

If you were physically in the classroom with the instructor and wanted to ask a question, 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 that 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 a distance of 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 Overview

Why a program on the DOI 5-Level Performance management System?

One of the most important roles you have as a supervisor is to manage the performance of your employees. The Department of the Interior and all of the Bureaus are implementing a new Five-Level Performance Management System. For the National Park Service this will be implemented effective January 1, 2005. You need to be familiar with the new plan and what is required of you, the supervisor, in implementing this new plan and operating within the framework established by the plan.

This program is designed to brief you on the differences between the Pass/Fail System and the new Five-Level System, to give you information on establishing critical elements and performance standards, and to prepare you to implement the new plan with your employees effective January 1, 2005.

Target Audience

Any NPS employee with supervisory responsibilities, or who serves as an advisor to supervisors, such as an HR Specialist should attend. This training counts towards your 40-hour supervisory training requirement.

Program Timing

This program is a 2 and ½ -hour TELNPS course.

Learning Objectives

After completing this course, you will be able to:

- Discuss the differences between the Pass/Fail and the Five-Level System
- Describe the purpose of critical elements and performance standards
- Understand how to complete the new Employee Performance Appraisal Form (EPAP)

Site Point-of-Contact Responsibilities

The TEL Station Site Point-of-Contact must reserve the training room, notify employees that the park will be participating in this TEL training event, make sure the Participant Guide is available to students, set up the TEL Station on the day of the training, make sure students sign in on the Student Roster form, and fax the form to the designated number.

Timeline for the Performance Appraisal System

5-Level Performance System

<p><i>Or as otherwise approved by the DOI Office of Human Resources</i></p>	<p>October 1 to September 30</p>	<p>Appraisal Period – The appraisal period coincides with the fiscal year, October 1 to September 30.</p>
<p><i>Or 30 days after the end of the Performance Appraisal Period</i></p>	<p>October 1 to 31</p>	<p>Complete the performance appraisal for prior fiscal year that ended on September 30.</p>
<p><i>Or 60 calendar days from beginning of appraisal cycle</i></p>	<p>October 1 to November 30</p>	<p>Maximum time to finalize performance standards – Timeframe in which performance standards are finalized and approved. The maximum time a rating official has to put an employee under elements and standards, i.e., establish an Employee Performance Appraisal Plan (EPAP).</p>
	<p>90 Calendar Days</p>	<p>Minimum Appraisal Period – The length of time, 90 calendar days, that the employee must be performing under an approved EPAP in a given position in order to be eligible for an interim or annual rating.</p>
<p><i>Or approximately midway through Performance Appraisal period</i></p>	<p>March through May</p>	<p>Progress Review – Discussion with the employee <u>at least once</u> during the appraisal period to review the employee's progress and communicate performance as compared to the established standards; to make any recommended revisions to critical elements/performance standards; and to consider/identify any developmental needs or performance improvement required.</p>
	<p>As Required</p>	<p>Interim Appraisal – Required when an employee has worked under standards in the position for 90 days and if one or more of the following occurs: Employee changes position (i.e., reassignment, promotion, change to lower grade, transfer), completes a temporary assignment of 120 days or more (i.e., detail, temporary promotion, etc.), the rating official leaves a supervisory position, or to document a level of competence determination for within-grade increase purposes when the employee's most recent rating of record is not consistent with the level of competence determination.</p>

U.S. DEPARTMENT OF THE INTERIOR

Employee Performance Appraisal Plan

Employee Name and Social Security Number:		Title/Series/Grade:	
Duty Station:	Appraisal Period:	From:	To:

Part A: Notification of Standards: *Signatures certify that critical elements and performance standards were discussed. Critical elements and performance standards are contained in Part E.*

Employee:	Rating Official:	Reviewing Official (if applicable*):
Date:	Date:	Date:

*If determined by Bureau/Office

Part B: Progress Review: *Signatures certify that performance was discussed.*

Employee:	Date:	Rating Official:	Date:
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Part C: Summary Rating Determination: To determine a summary rating, assign one of the numerical rating levels that accurately reflects the employee's performance for each of the critical elements (Use only whole numbers: **Exceptional = 5 points; Superior = 4 points, Fully Successful = 3 points, Minimally Successful = 2 points, and Unsatisfactory = 0 points.**) *See reverse for complete instructions for assigning a Summary Rating.*

Element Number	Numerical Rating
1	
2	
3	
4	
5	
Total:	

Total Numerical Rating _____ ÷ Number of Elements _____ = Numeric Summary Rating _____

Part D: Overall Summary Rating: Use conversion chart below to determine Summary Rating. Check the appropriate box:

	Exceptional	4.6 – 5.00 AND No critical element rated lower than "Superior".
	Superior	3.6 – 4.59 AND No critical element rated lower than "Fully Successful".
	Fully Successful	3.0 – 3.59 AND No critical element rated lower than "Fully Successful".
	Minimally Successful	2.0 – 2.99 AND No critical element rated lower than "Minimally Successful".
	Unsatisfactory	One or more critical elements rated "Unsatisfactory".
Employee:	Rating Official:	Reviewing Official: (if applicable):
Date:	Date:	Date:

Check here if Interim Rating: _____

Employee's Signature above certifies that the overall summary rating was discussed. Reviewing Official's signature is required for Exceptional, Minimally Successful and Unsatisfactory ratings, and otherwise if determined by Bureau/Office.

Department of the Interior

Benchmark Employee Performance

Standards

Exceptional:

Employee demonstrates particularly excellent performance that is of such high quality that organizational goals have been achieved that would not have been otherwise. The employee demonstrates mastery of technical skills and a thorough understanding of the mission of the organization and has a fundamental impact on the completion of program objectives.

The employee exerts a major positive influence on management practices, operating procedures and/or program implementation, which contributes substantially to organizational growth and recognition. The employee plans for the unexpected and uses alternate ways of reaching goals. Difficult assignments are handled intelligently and effectively. The employee has produced an exceptional quantity of work, often ahead of established schedules and with little supervision.

The employee's oral and written communications are exceptionally clear and effective. He/she improves cooperation among participants in the workplace and prevents misunderstandings. Complicated or controversial subjects are presented or explained effectively to a variety of audiences so that desired outcomes are achieved.

Superior:

Employee demonstrates unusually good performance that exceeds expectations in critical areas and exhibits a sustained support of organizational goals. The employee shows a comprehensive understanding of the objectives of the job and the procedures for meeting them.

Effective planning by the employee improves the quality of management practices, operating procedures, task assignments and/or program activities. The employee develops and/or implements workable and cost-effective approaches to meeting organizational goals.

The employee demonstrates an ability to get the job done well in more than one way while handling difficult and unpredicted problems. The employee produces a high quantity of work, often ahead of established schedules with less than normal supervision.

The employee writes and speaks clearly on difficult subjects to a wide range of audiences and works effectively with others to accomplish organizational objectives.

Fully Successful:

The employee demonstrates good, sound performance that meets organizational goals. All critical activities are generally completed in a timely manner and supervisor is kept informed of work issues, alterations and status. The employee effectively applies technical skills and organizational knowledge to get the job done. The employee successfully carries out regular duties while also handling any difficult special assignments. The employee plans and performs work according to organizational priorities and schedules. The employee communicates clearly and effectively.

Minimally Successful:

The employee's performance shows serious deficiencies that requires correction. The employee's work frequently needs revision or adjustments to meet a minimally successful level. All assignments are completed, but often require assistance from supervisor and/or peers. Organizational goals and objectives are met only as a result of close supervision. On one or more occasions, important work requires unusually close supervision to meet organizational goals or needs so much revision that deadlines were missed or imperiled.

Employee shows a lack of awareness of policy implications or assignments; inappropriate or incomplete use of programs or services; circumvention of established procedures, resulting in unnecessary expenditure of time or money; reluctance to accept responsibility; disorganization in carrying out assignments; incomplete understanding of one or more important areas of the field of work; unreliable methods for completing assignments; lack of clarity in writing and speaking; and/or failure to promote team spirit.

Unsatisfactory:

The employee's performance is unsatisfactory. The quality and quantity of the employee's work are not adequate for the position. Work products do not meet the minimum requirements expected.

The employee demonstrates little or no contribution to organizational goals; failure to meet work objectives; inattention to organizational priorities and administrative requirements; poor work habits resulting in missed deadlines and/or incomplete work products; strained work relationships; failure to respond to client needs; and/or lack of response to supervisor's corrective efforts.

Exercise 1: Writing Performance Standards to Supplement the Benchmark Standards

Below and on the following pages are four sample Critical Elements and Supplemental Performance Standards we have developed for the Fully Successful Level. Please choose one to work on and, either individually or in groups at your location, try to write a supplemental performance standard at either the Exceptional or Unsatisfactory level. You have 5-10 minutes to do this.

Example 1: Custodial Worker

Part E: Critical Elements and Performance Standards: List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form.

Critical Element 1:	Park restrooms are maintained in a clean, sanitary and well-stocked manner. Facilities are in compliance health and safety standards, which contributed to visitor satisfaction. NPS Strategic Plan Goals IIa1A Visitor Satisfaction with Facilities, Services and Recreation, and IVa10A&B Facility Condition of Historic and Non-Historic Buildings.
<i>Performance Standards</i>	
<u>Exceptional</u>	
Superior	
Fully Successful	Refer to attached benchmark and in addition: Generally keeps to cleaning schedules in a manner that avoids obvious deterioration of facilities or allows the cleaning schedule to fall obviously behind. Overall appearance very seldom reflects adversely on the park.
Minimally Successful	
<u>Unsatisfactory</u>	

Example 2: Visitor Use Assistant

Part E: Critical Elements and Performance Standards: List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form.

Critical Element 1:	Fees are collected and processed in accordance with NPS guidelines and policies, which contributes to preservation of park resources and visitor understanding and appreciation of park resources. NPS Strategic Plan Goal IV4b, Fee Receipts.
<i>Performance Standards</i>	
<u>Exceptional</u>	
Superior	
Fully Successful	<p>Refer to attached benchmark and in addition: Employee regularly assures that individuals required to pay entrance and camping fees do so and demonstrates good skills in remaining calm and professional even when visitors are angry or frustrated. Generally takes steps to resolve visitor problems and occasionally calls on others for assistance.</p> <p>Issues and records park passes at time of issuance in general accordance with NPS guidelines and policies. Generally handles monies, passports, and records with adequate security to avoid theft or misplacement.</p> <p>Generally maintains reports and records for accountable property (government passes), entrance fees, and camping fees in accordance with NPS guidelines and policies. Infrequently experiences shortages, overages or unnecessary voids.</p>
Minimally Successful	
<u>Unsatisfactory</u>	

Example 3: Interpreter

Part E: Critical Elements and Performance Standards: List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form.

Critical Element 1:	Facilitated programs for visitors are researched, developed, and presented. These programs contribute to visitor understanding and appreciation of the significances (meanings) of park resources and are designed to reach a wide variety of audiences. NPS Strategic Plan Goals IIb1 and IVb2
<i>Performance Standards</i>	
<u>Exceptional</u>	
Superior	
Fully Successful	Refer to attached benchmark and in addition: Programs are researched using the most accessible and current sound scholarship available to the park; generally little in-depth research is completed. Research encompasses at least two viewpoints to accommodate a wider audience. Most programs developed are generally in line with the park's primary themes, demonstrate a developed theme and are commonly successful as a catalyst in creating opportunities for the audience to form their own connections with the meanings and significance inherent in the resource. Programs exhibit some of the professional techniques in public speaking and presentation skills and exhibit good delivery of formal interpretive programs.
Minimally Successful	
<u>Unsatisfactory</u>	

Example 4: Program Assistant (timekeeper)

Part E: Critical Elements and Performance Standards: List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form.

Critical Element 1:	Time and attendance records are processed and maintained appropriately, which contributes to organizational effectiveness. NPS Strategic Plan Goal Category IV Organizational Effectiveness.
<i>Performance Standards</i>	
<u>Exceptional</u>	
Superior	
Fully Successful	Refer to attached benchmark and in addition: Timesheets are generally coded correctly, with only infrequent corrections necessary due to timekeeper error. Timesheets are normally submitted to payroll by the deadline. Time and attendance records are generally maintained in accordance with FPPS guidelines. Timesheets are generally maintained in an acceptable manner assuring that all leave taken is recorded. Situations seldom occur in which the normal workflow and routine processing of time sheets is interrupted or employees are adversely affected as a result of improper or ineffective coding or maintenance of timesheets.
Minimally Successful	
<u>Unsatisfactory</u>	

Narrative Summary

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 2:

Exceptional-5 Superior-4 Fully Successful-3 Minimally Successful-2 Unsatisfactory-0

RECOMMENDED NEXT STEPS

- **Complete DOI's web-based training on EPAP**
- **Complete Employee Performance Plan and Results Report for Rating Period of 10/1/03 through 12/31/04**
- **Establish Critical Elements for new Performance Plan (EPAP)**
- **Define at a minimum the fully successful level of each Critical Element**
- **Share draft with employee and get feedback**
- **Finalize and implement EPAP by January 1, 2005**

MY NEXT STEPS

DATE ACCOMPLISHED

• _____	_____
• _____	_____
• _____	_____
• _____	_____
• _____	_____
• _____	_____
• _____	_____
• _____	_____