

FY 2013 EPAP Closeout and FY 2014 EPAP Initiation



Branch of Employee and Labor Relations,
Work Life Programs and Policies

Agenda

- FY2013 EPAP Closeout
 - Policy
 - Eligibility
 - Interim Rating
 - Narrative Summary
 - Constructive Feedback
- FY2014 EPAP Initiation
 - Performance Standards
 - Effective Performance Plans
 - Critical Elements
 - Writing Standards

Authorities

- Title 5 United States Code, Chapter 43
- 5 Code of Federal Regulations, Part 430
- Government Performance and Results Act of 1993
- 370 Department Manual 430

Performance v. Conduct

- A **PERFORMANCE issue** is when an employee cannot perform her/his duties because s/he does not understand or possess the correct skills.
- A **CONDUCT issue** is when the employee does not perform his/her duties because he/she willfully refuses to do so.

What Are Your Thoughts?

Tim gets along well with everyone in the office except for his supervisor. He thought that he should have been selected for the supervisory job and when an outsider was hired, he has challenged every decision, every assignment, and has been generally uncooperative. Even when he ultimately does a task, he does it grumbling and has often been late. Because of his performance, several important deadlines for the office have been missed. *Is this performance or conduct? How would you approach this problem?*

DOI Performance Management Policy

- Document the expectations of individual and organizational performance.
- Provide a meaningful process by which employees can be rewarded for noteworthy contributions to the organization.
- Provide a mechanism to improve individual/organizational performance as necessary.

How Is This Done?

- Communicate individual and organizational goals to employees.
- Communicate in such a way that the employees understand job responsibilities.
- Understand job requirements support the overall strategic mission and GPRA goals of the Department, Bureau and Unit.
- Identify responsibilities for accomplishing organizational goals.
- Monitor and evaluate performance.
- Gather performance results as a basis for reward or improvement.

Communication

- Is one of the most important responsibilities of the performance management system.
- Informs employees of their progress.
- Informs employees of their success.
- Inform employees of deficiencies.
- Invited employee feedback and input.
- Remember this is a Critical Conversation.

EPAP Process

- Determine final evaluation with Second Level Rating Official.
- Discuss final rating with employees.
- Communicate ... Communicate ... Communicate.
- Document ... Document ... Document.

Milestones

Dates	Tasks
September 30	FY 2013 Rating Cycle Ends
October 31	Complete FY 2013 EPAPs – assign a rating and discuss with employee.
	HROs will provide a submission date for EPAPs
November 30	Initiate FY 2014 EPAPs. Enter FY 2013 Rating into FPPS.
	HROs will provide a submission date for Performance Awards.
December 31	Enter QSI and Time-Off Awards into FPPS.

Evaluation of Performance – Eligibility

- An employee is ratable if:
 - Occupies a covered position on September 30; and
 - Worked at least 90 consecutive days under a performance plan.
- Exception:
 - The employee is on a Performance Improvement Plan (PIP) on September 30.

Evaluation of Performance – Timing

- Due 30 days from the end of the appraisal cycle (i.e., October 31).
- Include completing the rating for the entire year's performance; obtaining the approving officials signature, if required; and meeting with the employee, who also signs it.
- Conduct a telephone meeting for an employee, who is physically not at work. Extreme cases only.

Interim Rating

- The employee has worked under an established EPAP for 90 days and one or more of the following occurs:
 - The employee changes position.
 - The employee completes a temporary assignment of 120 days or more.
 - The rating official leaves a supervisory position.
 - The employee's present performance level is inconsistent with the rating of record and a WGI is due.

Narrative Summary

- Describe the employee's performance for each Critical Element.
- Give concrete examples.
- Prepare a narrative summary for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Evaluations Writing Tips

- Schedule a time to write the evaluation well before it is due.
- Use the employee's objectives and goals as the starting point of the evaluation.
- Mention the employee's strengths that set her/him apart from the other employees.
- Keep a file of notes for each of your employees with dates of when the events happened.
- Look at certain behaviors the employee has or does not have.

Evaluations Writing Tips – cont.

- Mention areas that need improvement. Address each problem individually and do not start a new problem until the current one is thoroughly discussed.
- Avoid evaluation of attitude and focus on performance outcomes.
- Discuss training, equipment, calendars, or other items that could assist the employee to improve performance.
- Focus on future outcomes to better each employee's work habits.
- Develop a plan for improvement.

Critical Conversation

- To be effective, a performance conversation is needed.
- The discussion is to be helpful and given in a manner that allows an employee to understand, if his or her performance is having the intended effect.
 - *Positive Feedback* (Positive Reinforcement)
 - *Negative Feedback* (Constructive Feedback)
 - Both type help an employee understand the feedback; so be specific.

Conducting Critical Conversations

- The most beneficial feedback has the following components:
 - Identifies the where and when of the action/situation.
 - Provides a statement regarding the impact of the action on others, or the accomplishment of work under the performance plan.
 - Provides specific suggestions for improvement, if applicable.

What Are Your Thoughts?

Anita is failing to meet her performance standards in two critical elements. You have given her additional training, have coached and counseled her repeatedly. She just does not seem to care and acts as if she is bored by the discussion. ***Is this performance or conduct? What approach is appropriate?***

Performance Issues

- Occur when an employee fails to meet the Fully Superior level of competence.
- Dealt with anytime, usually at the mid-year review or prior to the final evaluation.
- Discuss with the employee.
- Document ... Document ... Document.

During the Evaluation

- Give feedback in a private setting.
- Maintain a neutral tone.
- Ensure there is enough time.
- Be specific.
- Allow the employee to react and give his/her perception(s) on the issue.
- Narrow the scope of the feedback (e.g., do not overload the employee with a mountain of comments, also called "dumping").
- Avoid generalizations such as “You always do XXX” or “You never do YYY.”

During the Evaluation – cont.

- Do not label or categorize the action (e.g., “incomplete staff work” or “poor product”).
- Do not label or categorize the employee (e.g., failure, poor performer).
- Do not engage in "diagnostic" approaches or supposing to know the employee's poor performance. Use positive statements, when possible.
- Demonstrate encouragement and a cooperative team:
 - I know you are capable of producing more accurate work.
 - How can we prevent error from creeping into reports?

Rating Errors

- Recency effect
- Inadequately defined and/or misunderstood standards/goals
- Lacking truth and/or objectivity
- Central tendency: clustering everyone in the middle performance categories to avoid extremes of good or bad performance
- The sunflower effect

Rating Errors – cont.

- Biases:
 - Similar to me
 - Positive leniency
 - Negative leniency
 - Halo effect (Favoritism)
 - Horn effect (Opposite of the halo effect)
 - Attribution
 - Stereotyping
 - Contrast effect
 - Unfair comparison
 - First impression

2013 Performance Awards

- While we are under sequestration, there are no discretionary funds for monetary awards.
- Superior accomplishments that links to the Department/Bureau's mission
 - Quality Step Increases (QSI) – Level 5 only
 - Time-Off Awards – Levels 4 and 5 only

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