



DOE Results-Focused Performance Management Training

Non-Supervisory Employees

Participant Guide

U.S. Department of Energy
Office of Human Capital Management
Washington, DC

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DOE Results-Focused Performance Management Non-Supervisory Employees Training Course

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Housekeeping Information



- Time
- Breaks
- Lunch
- Restrooms
- Emergency Procedures
- Cell Phones/PDAs

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DOE Department-Wide Performance Management Training

- **Workforce**
 - 11,157 (excluding NNSA & FERC)
- **Objectives**
 - To foster a Results-Focused Performance Management Culture which promotes a corporate understanding of and approach to employee performance
 - To ensure fairness, equity, and accountability
 - To make distinctions in levels of performance
 - To emphasize alignment of performance with organizational results

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What This Training is Not About

- **DOE Performance Management Policies**
- **Bargaining Unit Agreements**
- **Annual Performance Ratings**
- **Performance Based Awards**
- **Providing Employee Feedback**

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Introductions

- Performance Management Liaison/Subject Matter Expert (SME)
- Instructor



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Part 1: Course Introduction

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Course Agenda

- Part 1: Course Introduction
- Part 2: Roles and Responsibilities in the Performance Process
- Part 3: Process for Developing Performance Plans
- Part 4: The SMART Model for Results-Focused Critical Elements with Credible Measures
- Part 5: Activity—Developing a Results-Focused Performance Plan
- Part 6: Course Wrap-Up

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Course Objectives

At the end of this course, you should be able to:

- Understand the roles and responsibilities in the Performance Plan development process
- Recognize the value of the performance planning process related to alignment with organizational goals
- Identify effective ways to collaborate with your supervisor in developing and implementing your Performance Plan
- Apply the process for developing a SMART Results-Focused Performance Plan with Critical Elements

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Active Participation

- Share ideas related to the Results-Focused Performance Management Process
- Listen with an open mind to the information presented
- Ask questions to clarify the information presented
- Participate actively
- One voice at a time

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Common Terms

- Organization
- Cascading Goal Alignment
- Results-Focused Critical Element
- Credible Measures
- Results-Focused Critical Element with Credible Measures

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Common Terms Used in the Course

Organization

The unit you belong to within DOE that shares and pursues common goals and objectives

Cascading Goal Alignment

A goal that is linked to an organizational or strategic goal, and is cascaded down from the SES or the employee's highest management official to the front-line employees

The source document (i.e., DOE Strategic Plan, DOE Annual Plan, Organizational Strategic or Annual Plans, President's Management Agenda [PMA], President's National Energy Policy, etc.) and the specific goal number must be annotated in the Goal Linkage. Employees should be able to see and understand how the results for which they are held responsible are linked to those specified in their supervisory/managerial chain, thereby creating a clear "line of sight" between individual performance and organizational success.

Results-Focused Critical Element

A performance expectation that holds an employee accountable for achieving a result that directly supports an organization's goal achievement

A Critical Element is an assignment or responsibility of such importance that unacceptable performance in a single such Critical Element would constitute an overall "Fails-to-Meet" summary performance rating. A Critical Element should include measure(s) that specify the performance threshold(s), requirement(s), or expectation(s) written at the "Meets" performance level. A Critical Element or measure may be modified, deleted, or adjusted prior to the last 90 days of the rating period.

Credible Measures

Valid and specific measurement of how a result is evaluated, usually in the form of quality, quantity, timeliness, and/or cost-effectiveness

Results-Focused Critical Element with Credible Measures

Job Performance Critical Element must specify a result/outcome which is:

- (1) Linked to an organizational or strategic goal
- (2) Cascaded down from the SES or the employee's highest management official
- (3) Measurable



Part 2: Roles and Responsibilities in the Performance Process

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Manager/Supervisor Role

- Identify key program/site and work unit goals as a basis for aligning employee Results-Focused Critical Elements
- Communicate site and work unit objectives
- Provide the link between employee work objectives and Agency mission
- Develop Performance Plan, in collaboration with employee
- Provide regular feedback on the development of Performance Plans
- Modify Performance Plan with employee as required



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Employee Role



- Become familiar with the DOE Strategic Plan
- Understand key DOE, program, organizational, and site goals as a basis for developing Results-Focused Critical Elements
- Collaborate with supervisor to develop Performance Plan linked to strategic, operational, or program plans
- Understand the links between:
 - Performance and its value to DOE
 - Results-focused performance and organizational performance
- Ask for and respond to performance feedback

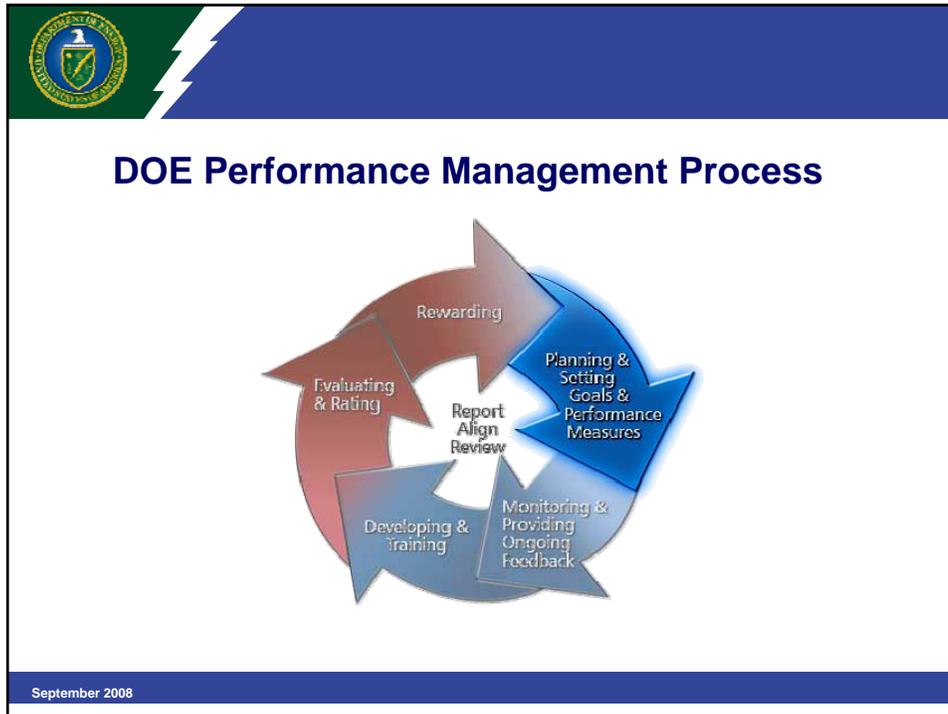
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Collaborating with Your Supervisor

- **Develop a Performance Plan:**
 - Specify results and measures
 - Share and discuss the Performance Plan with your supervisor
 - Finalize the Performance Plan with your supervisor
- **Monitor progress:**
 - Observe and document interim results and behavior during performance period
 - Discuss applicability of required changes to Results-Focused Critical Elements with your supervisor
- **Evaluate and rate performance:**
 - Provide a list of accomplishments
 - Request an appraisal meeting with your supervisor

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Rating Levels



- **Significantly Exceeded Expectations (SE)**
- **Meets Expectations (ME)**
- **Needs Improvement (NI)**
- **Fails to Meet Expectations (FME)**

Write Performance Plans to the ME Level

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**Part 3: Process for Developing
Performance Plans**

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Process for Developing Performance Plans

1. Review DOE mission, goals, and strategic themes.
2. Align individual goals with higher-level goals.
3. Specify results expected for individual goals.
4. Develop SMART, Results-Focused Critical Elements with credible measures.

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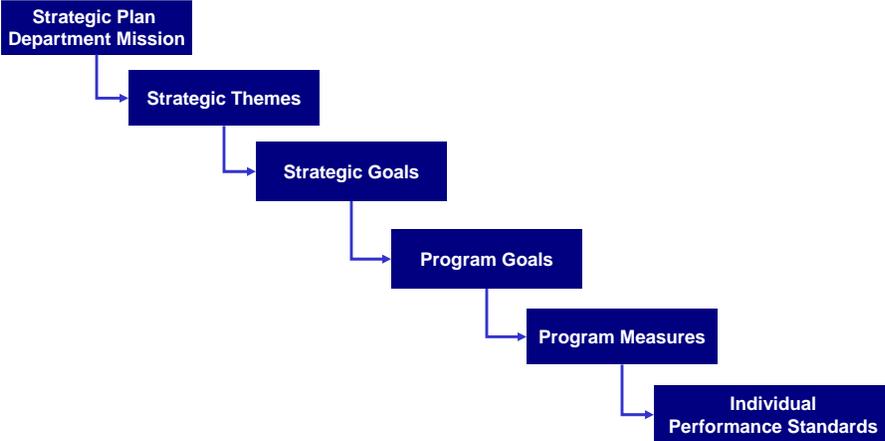
DOE Mission

The Department of Energy's overarching mission is to discover the solutions to power and secure America's future.

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Process for Developing Performance Plans: Concept of Cascading Goals



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graph TD; A["Strategic Plan  
Department Mission"] --> B["Strategic Themes"]; B --> C["Strategic Goals"]; C --> D["Program Goals"]; D --> E["Program Measures"]; E --> F["Individual  
Performance Standards"]
```

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DOE Strategic Themes

DOE
<p>Strategic Theme 1: Energy Security Promoting America's energy security through reliable, clean, and affordable energy</p>
<p>Strategic Theme 2: Nuclear Security Ensuring America's nuclear security</p>
<p>Strategic Theme 3: Scientific Discovery and Innovation Strengthening America's scientific discovery and economic competitiveness, and improving America's quality of life through innovations in science and technology</p>
<p>Strategic Theme 4: Environmental Responsibility Protecting the environment by providing a responsible resolution to the environmental legacy of nuclear weapons production</p>
<p>Strategic Theme 5: Management Excellence Enabling the mission through sound management</p>

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Strategic Theme 5: Management Excellence

DOE
<p>Strategic Theme 5: Management Excellence Enabling the mission through sound management</p>
<p>Goal 5.1 Integrated Management Institute an integrated business management approach throughout DOE with clear roles and responsibilities and accountability, to include effective line management oversight by both Federal and contractor organizations.</p>
<p>Goal 5.2 Human Capital Ensure that the DOE workforce is capable of meeting the challenges of the 21st Century by attracting, motivating, and retaining a highly skilled and diverse workforce to do the best job.</p>
<p>Goal 5.3 Infrastructure Build, modernize, and maintain facilities and infrastructure to achieve mission goals and ensure a safe and secure workplace.</p>
<p>Goal 5.4 Resources Institutionalize a fully integrated resource management strategy that supports mission needs and postures the Department for continuous business process improvement.</p>

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DOE Performance Plan

Cascaded Organizational Goals:
The employee performance plan must align with (i.e., support) organizational goals and targets that are established in an organization's annual performance plan and/or that have been included in the Senior Executive Service (SES) member's or manager's performance plan. Alignment should be transparent so that the employee knows what he/she is to accomplish in order to support the goal.

To demonstrate the cascaded goal alignment: Select the strategic, program or organizational goal(s) relevant to this performance plan. For major program or organizational goals, annotate the alignment document, goal number, and goal title.

- DOE Strategic Goal #1. Energy Security: Promoting America's energy security through reliable, clean, and affordable energy.
- DOE Strategic Goal #2. Nuclear Security: Ensuring America's nuclear security.
- DOE Strategic Goal #3. Scientific Discovery & Innovation: Strengthening U.S. science discovery, economic competitiveness, and improving quality of life through innovations in science and technology.
- DOE Strategic Goal #4. Environmental Responsibility: Protecting the environment by providing a responsible resolution to the environmental legacy of nuclear weapons production.
- DOE Strategic Goal #5. Management Excellence: Enabling the mission through sound management.
- Major Program Goal.
- Organizational Goal.
- SES or Manager Plan. (Name and Title)

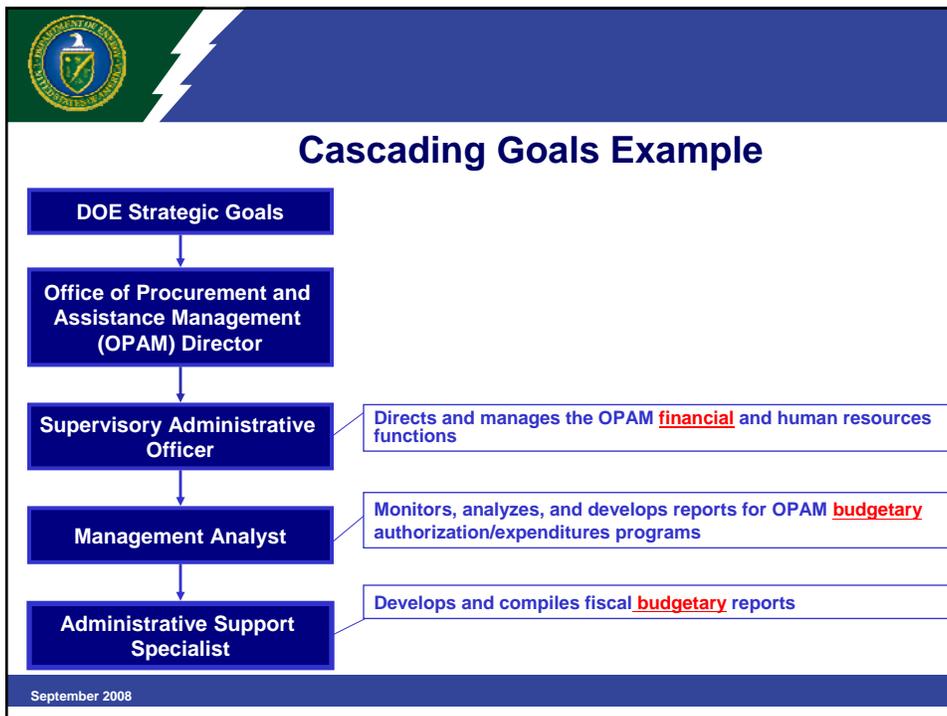
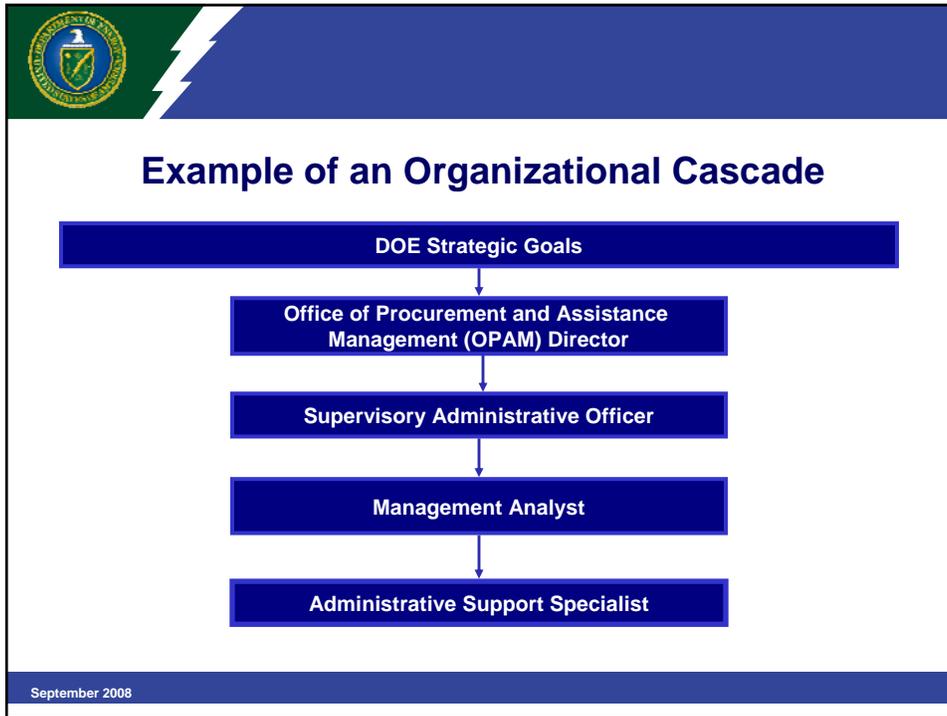
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Benefits of Cascading Organizational Goal Alignment

- Push goals throughout the Agency to keep everyone heading in the same direction.
- Align work unit, manager, and employee objectives to overall Agency objectives.
- Keep employees engaged by providing clear visibility into how their individual goals affect the organization's objectives.
- Keep employees focused on results.
- Hold both managers and employees accountable for achieving results, relative to their levels of responsibility.

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**Part 4: The SMART Model for
Results-Focused Critical
Elements with Credible Measures**

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**SMART Model for
Results-Focused Critical Elements and Measures**

- **S**pecific
- **M**easurable
- **A**chievable
- **R**elevant
- **T**ime-Bound

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Specific—What?

- **What** results are needed?
 - Defines **what** needs to be accomplished
 - Conveys a clear understanding of the impact of required actions
 - Covers “Big Bucket” items
 - Has a measure for the result
 - The result is observable



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Measurable—Where?



- Explains **where** the performance target lies by defining measurements
 - Quantity
 - Time
 - Milestones
 - Quality
 - Use of resources
- A method or procedure must be in place that allows tracking, recording, and validation
- Proof of accomplishment

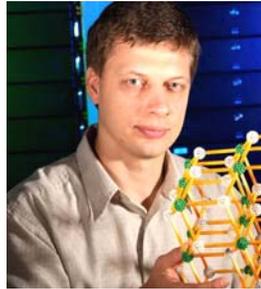
If you cannot evaluate it, you cannot manage it.

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Measurable—Developing Specific Measures

- **Quantity**
- **Quality examples:**
 - Government standards
 - Customer service surveys
 - Independent program appraisals
 - Laws, Regulations, Standard Operating Procedures
- **Timeliness**
- **Cost-Effectiveness**



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Achievable—How?

- Goals define **how** you can attain the goal through specific actions. What steps must be taken?
- Goals are challenging, but achievable.
- Goals must be within the your control.
- Goals can change from year to year as you are able to achieve them.



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Relevant—Why?

- Explains **why** the goal is important—it is aligned with the strategic goals of DOE and it adds value.
- Relevant means that the goal supports the achievement of the Agency mission with a clear line of sight between actions and expected results.
- A clear connection should be shown to at least one level higher than you.



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Time-Bound—When?

- Time-bound means there is a point in time **when** the goal will start or when it will be completed.
- This requires using specific time frames—e.g., 2nd quarter—or actual dates, if possible.
- This requires allowing for flexibility and revision as Agency constraints change.
- Milestones can be used to provide an indication of interim accomplishments during the rating period.



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The SMART Template

S pecific: What results are needed?	Results-Focused Critical Elements with Credible Measures
M easurable: Where does the performance target lie? Is there quantitative or qualitative measure?	
A chievable: How can the employee attain the goal through specific actions? What steps must be taken?	
R elevant: Why is the goal important (alignment)?	Goal Linkage
T ime-Bound: When will the goal start, or when will it be completed?	Results-Focused Critical Elements with Credible Measures

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DOE Results-Focused Critical Element Format

Goal Linkage	Results-Focused Critical Elements with Credible Measures	Weight
1.		
2.		

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The SMART Model for Results-Focused Critical Elements

Part I: Goal Alignment, Results-focused, and Critical Elements: The job performance critical element(s) should:

- directly relate to the organizational goal.
- hold the employee accountable for achieving results.
- include clear, credible measures of performance of quality, quantity, timeliness, and/or cost-effectiveness.

The sum of the assigned weights for the Job Performance Critical Elements must equal 90.

A. Job Performance Critical Elements:

Goal Linkage	Results-Focused Critical Element with Credible Measure(s)	Weight
1.		
2.		
3.		
4.		
5.		
Total Weight =		90 pts.

Specific →

Measurable →

Achievable →

Relevant →

Time-Bound →

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Tools for Writing Critical Elements

- SMART Template
- Position Description (PD)
- Organizational Goals
- Annual Project Plans
- Program Plans

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Using the SMART Template

Administrative Support Specialist:

<p>Specific: What results are needed?</p> <ul style="list-style-type: none"> • Develop fiscal budgetary reports and presentations that convey the organization’s financial posture 	<p>Results-Focused Critical Elements with Credible Measures</p>
<p>Measurable: Where does the performance target lie? Is there quantitative or qualitative measure?</p> <ul style="list-style-type: none"> • Budgetary reports and presentations accurately display fiscal data, pending challenges and solutions, and program management plans as approved by the Supervisory Administrative Officer 	
<p>Achievable: How can the employee attain the goal through specific actions? What steps must be taken?</p> <ul style="list-style-type: none"> • Reports and presentations are developed through the use of the organization’s internal tracking system and in accordance with OPAM’s Standard Operating Procedures 	
<p>Relevant: Why is the goal important (alignment)?</p> <ul style="list-style-type: none"> • Supports OPAM’s fiscal goals and deliverables, and • DOE Strategic Goal #5, Management Excellence—Enabling the mission through sound management 	<p>Goal Linkage</p>
<p>Time-Bound: When will the goal start, or when will it be completed?</p> <ul style="list-style-type: none"> • Monthly status updates to OPAM Leadership • Budget reports produced quarterly 	<p>Results-Focused Critical Elements with Credible Measures</p>

Performance Plan

Goal Linkage	Results-Focused Critical Elements with Credible Measures	Weight
1 .		



Administrative Support Specialist: Results-Focused Critical Elements with Credible Measures

	Goal Linkage	Results-Focused Critical Elements with Credible Measures	Weight
1.	DOE Strategic Goal #5, Management Excellence—Enabling the mission through sound management	Develop and compile fiscal budgetary reports and presentations that accurately convey the organization's financial posture as captured in the organization's internal budgetary tracking system. The reports and presentations, developed in accordance with OPAM's Standard Operating Procedures, accurately display fiscal data, pending challenges and solutions, and program management plans as approved by the Supervisory Administrative Officer in order to meet OPAM fiscal goals and deliverables. Provides OPAM leadership with monthly status updates and quarterly budget reports. There should be no more than 4 instances of inaccurate data report during the rating period.	30

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Part 5: Activity—Developing a Results-Focused Performance Plan



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Activity: Utilizing a Sample Narrative with the SMART Model

Management Analyst Position:

This position is located in the DOE, Office of Management, Office of Procurement and Assistance Management, Administrative Office. The mission of the office is to provide administrative support to the organization.

The Management Analyst analyzes, evaluates, and advises management on deficient areas while ensuring that the current year's fiscal budget is no more than 5% above the previous year's budget. Recommendations on fiscal goals must be in accordance with budgetary regulations and the organizational plan. Authorization and detailed expenditure reports are provided quarterly to supervisor in accordance with standard operating procedure.

SMART Template

<p>Specific: <u>What</u> results are needed?</p>	<p>Results-Focused Critical Elements with Credible Measures</p>
<p>Measurable: <u>Where</u> does the performance target lie? Is there quantitative or qualitative measure?</p>	
<p>Achievable: <u>How</u> can the employee attain the goal through specific actions? What steps must be taken?</p>	
<p>Relevant: <u>Why</u> is the goal important (alignment)?</p>	<p>Goal Linkage</p>
<p>Time-Bound: <u>When</u> will the goal start, or when will it be completed?</p>	<p>Results-Focused Critical Elements with Credible Measures</p>



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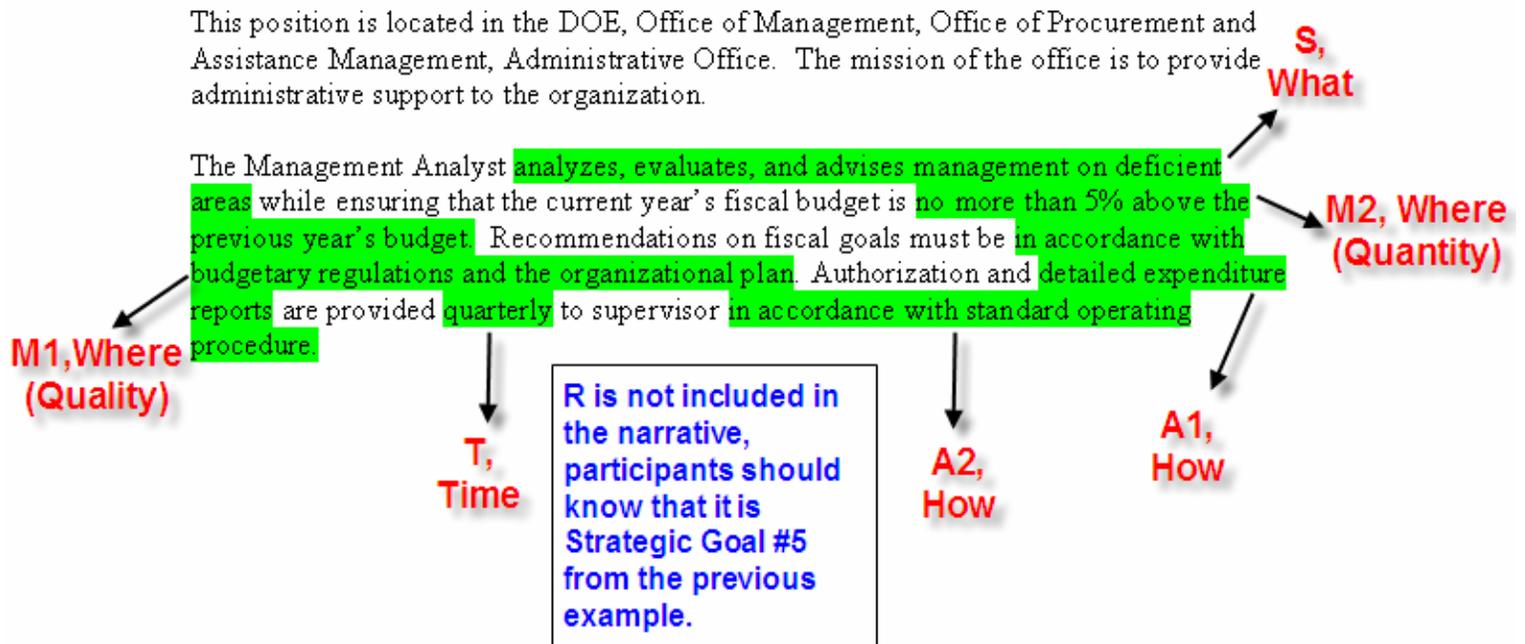
Performance Plan

Goal Linkage	Results-Focused Critical Elements with Credible Measures	Weight
1 .		



Dissecting the Narrative

This position is located in the DOE, Office of Management, Office of Procurement and Assistance Management, Administrative Office. The mission of the office is to provide administrative support to the organization.





Management Analyst Position

Specific: Analyzes, evaluates, and advises management on deficient areas
Measurable: Current year's <u>budget</u> authorizations are no more than a 5% increase over the previous year's budget (Quantitative) In accordance with budgetary regulations and the organizational plan (Qualitative)
Achievable: In accordance with standard operating procedures, through detailed expenditure reports
Relevant: Meet OPAM's fiscal goals and deliverables DOE Strategic Goal #5, Management Excellence: Enabling the mission through sound management
Time-Bound: Reports on quarterly basis

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Management Analyst: Results-Focused Critical Elements with Credible Measures

	Goal Linkage	Results-Focused Critical Elements with Credible Measures	Weight
1.	DOE Strategic Goal #5, Management Excellence: Enabling the mission through sound management	Monitors, analyzes, and develops reports for OPAM's budgetary authorization and expenditure programs in accordance with OPAM's Standard Operating Procedure; makes recommendations to improve deficient areas in order to meet fiscal goals and ensure that the current year's fiscal budget is no more than 5% above the previous year's budget. Detailed expenditure reports are due to supervisor by 1 Jan 2009; 1 Apr 2009; 1 Jul 2009.	30

Use **SMART** to create summary element

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Management Analyst: Results-Focused Critical Elements with Credible Measures

#	Goal Linkage	Results-Focused Critical Elements with Credible Measures	Weight
1.	DOE Strategic Goal #5, Management Excellence—Enabling the mission through sound management	Monitors, analyzes, and develops reports for OPAM's budgetary authorization and expenditure programs in accordance with OPAM's Standard Operating Procedure; makes recommendations to improve deficient areas in order to meet fiscal goals and ensure that the current year's fiscal budget is no more than 5% above the previous year's budget are due to supervisor t	30

Administrative Support Specialist: Results-Focused Critical Elements with Credible Measures

#	Goal Linkage	Results-Focused Critical Elements with Credible Measures	Weight
1.	DOE Strategic Goal #5, Management Excellence—Enabling the mission through sound management	Develop and compile fiscal budgetary reports and presentations that accurately convey the organization's financial posture as captured in the organization's internal budgetary tracking system. The reports and presentations, developed in accordance with OPAM's Standard Operating Procedures, accurately display fiscal data, pending challenges and solutions, and program management plans as approved by the Supervisory Administrative Officer in order to meet OPAM fiscal goals and deliverables. Provides OPAM leadership with monthly status updates and quarterly budget reports. There should be no more than 4 instances of inaccurate data report during the rating period.	30

Cascading Alignment

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Common Errors to Avoid

- Absolute standards
- Vagueness
- Unmeasurable or unverifiable intended outcomes
- Overly complex or lengthy language
- Unspecified due date or timeframe
- Emphasis on inappropriate or wrong outcomes
- Too many objectives (laundry list)

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Part 6: Course Wrap-Up

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Performance Management Process



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Resources

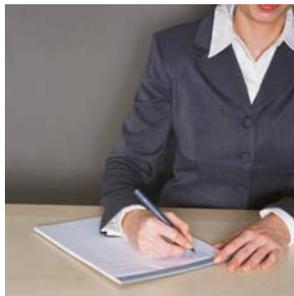
- Performance Management Liaison/Subject Matter Expert (SME)
- Servicing Human Resources Office
- Ongoing training for Non-Supervisory Employees



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Course Wrap-Up



- Clear the Parking Lot
- Share a key lesson learned
- Complete Course Evaluation

Thank You For Your Participation!

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SMART Template

<p>Specific: <u>What</u> results are needed?</p>	<p>Results-Focused Critical Elements with Credible Measures</p>
<p>Measurable: <u>Where</u> does the performance target lie? Is there quantitative or qualitative measure?</p>	
<p>Achievable: <u>How</u> can the employee attain the goal through specific actions? What steps must be taken?</p>	
<p>Relevant: <u>Why</u> is the goal important (alignment)?</p>	<p>Goal Linkage</p>
<p>Time-Bound: <u>When</u> will the goal start, or when will it be completed?</p>	<p>Results-Focused Critical Elements with Credible Measures</p>

SMART Template, expanded

<p>Specific: What results are needed?</p> <p>Does it convey a clear understanding of the impact of required actions?</p> <p>Is this a “Big Bucket” item?</p> <p>Is there a measure for the result?</p> <p>Is the result observable?</p>	<p>Results-Focused Critical Elements with Credible Measures</p>
<p>Measurable: Where does the performance target lie?</p> <p>Is there quantitative or qualitative measure?</p> <p>Can a qualified observer tell if it is done well?</p> <p>Is effective use of resources important?</p> <p>Are there published standards (O/G/M)?</p> <p>Are employee attributes important?</p>	
<p>Achievable: How can the employee attain the goal through specific actions? What steps must be taken?</p> <p>Is the outcome within the control of the employee?</p> <p>Is there some stretch for the employee?</p>	
<p>Relevant: Why is the goal important (alignment)?</p> <p>Does this result connect to the next higher level?</p> <p>Does it support the achievement of DOE missions and themes?</p> <p>Is there a line of sight to DOE strategic goals?</p> <p>Does it add value to the organization?</p>	<p>Goal Linkage</p>
<p>Time-Bound: When will the goal start, or when will it be completed?</p> <p>Can specific completion or achievement dates be used?</p> <p>Are there interim milestones?</p>	<p>Results-Focused Critical Elements with Credible Measures</p>

Sample Performance Plan: General Engineer Position

<p>Specific: <u>What</u> results are needed?</p> <ul style="list-style-type: none"> • Implement and manage Research & Development (R&D) projects 	<p>Results-Focused Critical Elements with Credible Measures</p>
<p>Measurable: <u>Where</u> does the performance target lie? Is there quantitative or qualitative measure?</p> <ul style="list-style-type: none"> • Increase the efficiencies of environmental performance and reliability of systems by 1–3% • FY08 Qtr 1 project costs are equal to or exceed FY07 Qtr 1 costs by no more than 3% • Complete reports and make recommendations regarding efficiency, cost, and reliability of Power Systems 	
<p>Achievable: <u>How</u> can the employee attain the goal through specific actions? What steps must be taken?</p> <ul style="list-style-type: none"> • Planning • R&D follow-through • Analysis and reporting of results • Development of advanced power systems 	
<p>Relevant: <u>Why</u> is the goal important (alignment)?</p> <ul style="list-style-type: none"> • Supports DOE Strategic Goal #3, Scientific Discovery and Innovation—Strengthening U.S. scientific discovery, economic competitiveness, and improving quality of life through innovations in science and technology 	<p>Goal Linkage</p>
<p>Time-Bound: <u>When</u> will the goal start, or when will it be completed?</p> <ul style="list-style-type: none"> • Produce R&D deliverables by program due dates • Provide progress reports by end of each quarter • Provide FY08 Qtr 1 project costs by Dec 31, 2008 	<p>Results-Focused Critical Elements with Credible Measures</p>

Sample Performance Plan: General Engineer Position

	Goal Linkage	Results-Focused Critical Elements with Credible Measures	Weight
1.	DOE Strategic Goal #3, Scientific Discovery and Innovation— Strengthening U.S. scientific discovery, economic competitiveness, and improving quality of life through innovations in science and technology	Implement and manage Research & Development (R&D) projects in accordance with Power Systems Division and NEPA standards and to meet timeframes specified in the annual R&D project plan, in order to increase environmental performance efficiency and system reliability by 1–3% over the previous fiscal year. Provides supervisor a progress report by the end of each quarter. By Dec 31, 2008, provide FY08 Qtr 1 project costs which equals or exceeds FY07 Qtr 1 costs by no more than 3%.	35