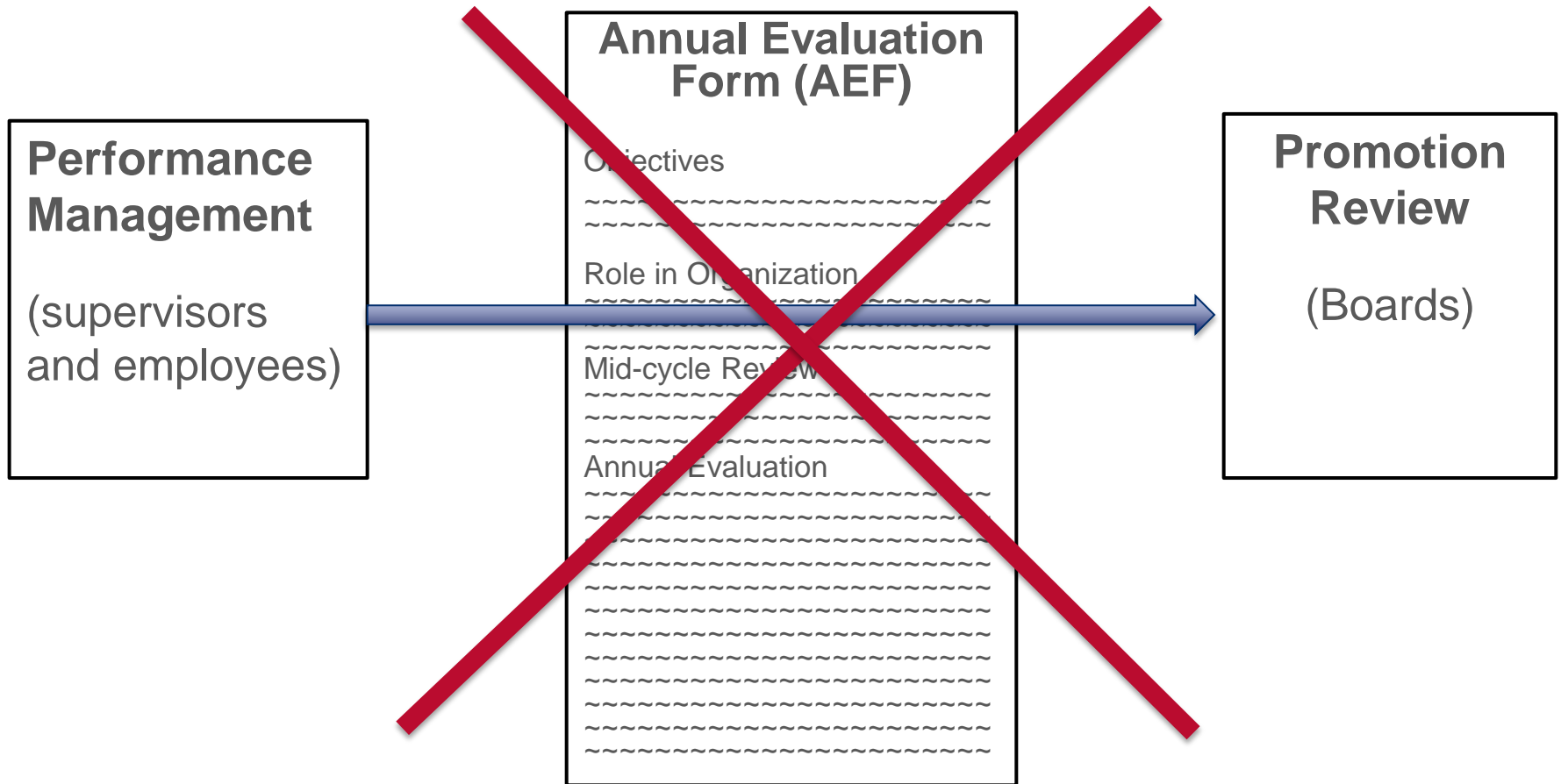FOREIGN SERVICE
PERFORMANCE
MANAGEMENT
and PROMOTION

—

Redesigned and Live!

Overview for the Workforce – March 2019

I

What's the really BIG change?

Performance Management

(supervisors and employees)

Annual Evaluation Form (AEF)

Objectives
~~~~~~~~~~~~~~~~~~~~~~~~~~~~
~~~~~~~~~~~~~~~~~~~~~~~~~~~~

Role in Organization
~~~~~~~~~~~~~~~~~~~~~~~~~~~~
~~~~~~~~~~~~~~~~~~~~~~~~~~~~

Mid-cycle Review
~~~~~~~~~~~~~~~~~~~~~~~~~~~~
~~~~~~~~~~~~~~~~~~~~~~~~~~~~
~~~~~~~~~~~~~~~~~~~~~~~~~~~~

Annual Evaluation
~~~~~~~~~~~~~~~~~~~~~~~~~~~~
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Promotion Review

(Boards)

A New Approach: Two Separate Processes

Employee Performance & Development

- Focus on conversations not documentation
- Flexible, realistic objectives
- More accountability for supervisory responsibilities
- Coaching and feedback

Promotion

- Clear, transparent promotion decision criteria
- Input reflects decision factors
- More input from promotion candidates
- Multiple sources of info

Key Dates:
Employee Performance and Development (EP&D)

Requirements for all FSOs and FSLs

- **March 31, 2019 – Missions/BIOs complete Operating Unit (OU) Context Statements**

- **March 1 - April 30 – Complete 4th Quarter Conversations (Annual Review Conversation) in ePerformance; complete FS Skills Assessment**

- **May 3, 2019 - Annual Accomplishment Records (AARs) and Annual Performance Evaluations (APE) completed and signed *in ePerformance*.**

Key Dates: 2019 FSO Promotion Process

Requirements for all promotion eligible FSOs

- **March 4 – April 30: All FSOs check and confirm eligibility for promotion in LaunchPad**

- April 1 - May 3: Rating Officials and FS employees meet to determine which potential peer/other raters meet MSR criteria.

- May 6 – 24: MSR raters view mandatory training video

- May 6 – 10: Supervisors submit MSR requests in ePerformance

- May 6 – 24: Supervisors, peers, and subordinates complete MSRs

- **May 17: All PIFs (electronically signed pdfs) due to HCTM.**

- **July 8 – Aug 9: FS (FS04-FS01) Promotion Boards meet**

Who Designed the New System?

- 18 member FSO Community of Stakeholders

- Over 100 FSO volunteers

  – Every backstop and 5 Missions in field tests or forms

  – Input from workforces on Skills Framework and Guidebook

  – Mock Boards for Promotion Process Pilot test

- Technical assistance and best practices from:

  – HCTM professionals and Organizational Psychologists

  – Academic research, thought leaders

  – USAID sponsored benchmarking study

Redesign Goals
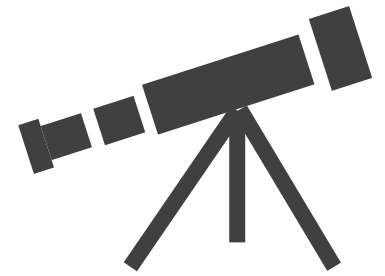
1. Facilitate ongoing, meaningful feedback and development to build employees' expertise throughout their careers

2. Ensure that processes for dealing with employee performance problems are clear, fair, and effective.

3. Increase the transparency, objectivity, and fairness of the promotion process

AND

Simplify --- Leverage technology --- Reinforce accountability

Employee Performance and Development (EP&D)

FS/SFS Skills Framework Is The Foundation

Employee Performance & Development

- Skill Development Objective required for all (Q1)
- Coaching and 360 feedback target skill development
- Annual review conversation includes FS Skills Assessment

Promotion

- 4 of the 6 Promotion Decision Factors are core skills
- Promotion Input Form (PIF) has block for each core skill
- Multisource Ratings (MSRs) reflect core skills

FS/SFS SKILLS FRAMEWORK

EP&D and Promotion reflect and leverage the Skills Framework

Components of the FS/SFS Skills Framework

- Based on work of FS Optimization and CoS

- Updated to reflect Agency priorities

- Greater emphasis on supervision and soft skills

- Behavioral examples illustrate proficiency progression

Core Skill	Subskills
Leadership	• Building Consensus & Partnerships • Contextual Awareness & Political Astuteness • Motivation & Empowerment • Vision
Results and Impact Focused	• Accountability for Results • Problem Solving • Taking & Managing Risks • Technical & Substantive Expertise
Professionalism	• Adaptability & Flexibility • Communication • Cross-Cultural Competence • Interpersonal Skills • Teamwork
Talent Management	• Supports EEO, Diversity, & Inclusion • Professional Development • Supervision & HR Management*

USAID Core Values
- Passion for Mission
- Excellence
- Integrity
- Respect

- Empowerment
- Inclusion
- Commitment to Learning

Employee Performance and Development (EP&D) Components

- Quarterly Conversations

- Annual Accomplishment Record (AAR)

- FS Skills Assessment

- Annual Performance Evaluation

Quarterly Conversations

Reflect on performance, lessons learned to take forward

Set or revisit goals and expectations

Q4: Jan – Mar
Annual Review Conversation*

Q1: Apr - Jun
Set Expectations & Plan for Development

Ongoing Feedback

Ongoing Feedback

Agency Mission, FS Skills & Backstop Competencies

Q3: Oct - Dec
Quarterly Check-in

Q2: Jul - Sept
Quarterly Check-in

Assess skills and review development goals

Review priorities, progress, and performance

Ongoing Feedback

*FSOs have until Apr 30 to complete their Annual Review Conversation and the Annual Performance Evaluation.

A New Role for Work Objectives

Old Role

Boards use to in assessing readiness for promotion

- ✓ Did employee achieve stated objectives?
- ✓ Did employee exceed objectives based on performance metrics?
- ✓ Are objectives appropriate for personal grade?
- ✓ Do objectives reflect readiness for promotion?

New Role

Starting point for supervisor and employee dialogue

- ✓ What's important? Why? What needs to get done first?
- ✓ How should we allocate time and resources?
- ✓ What are the priorities when there are trade-offs, risks?
- ✓ Are we on track? Need to course correct?

In EP&D, objectives are recorded in Quarterly Conversation Records but never seen by Boards. Promotion candidates are assessed based on what they did, not their objectives.

A New Requirement for Skill Development Objectives

Every FSO must have a skill development objective

How do you decide what it should be?

- Assess personal strengths and weaknesses
  - Reflect on feedback (360 feedback, MSRs)
  - Review Skills Assessment

- Assess requirements and opportunities of the job
  - What skills are critical for the position?
  - Are there unique learning opportunities?

- Reflect on personal and career aspirations
  - What do you value personally?
  - What will best serve career goals?

Q2 and Q3 Conversations

- Review priorities, progress, and performance

- Review skill development activities/progress

- Discuss challenges, risks, resources

- Ask one new thought provoking question

- Share feedback on something specific

- Ask for feedback on something specific

Sample Questions to Include in a Quarterly Conversation

1. What are you seeing as your top priorities over the next couple months?

2. How do you feel about how things are going?

3. What's the hardest part of your job right now?

4. What's something that might be getting in the way of your doing a really great job?

5. What's one thing I could do that would really help?

Start from the assumption that everyone wants to do a good job, and is doing the best they can given their past experiences and current reality.

If There are Performance Issues, Explore Possible Underlying Reasons

Motivation

- Is work valued?
- Challenging/fulfilling?
- Enough autonomy?

Environment

- Conflicting priorities?
- Inconsistent messages?
- Lack of resources?

Personal Life Challenges

Knowledge

- Access to information needed for decisions?
- Lack technical knowledge?

Skills

- Skills for the job?
- Training, practice or feedback needed?

Steps for an Effective Feedback Conversation

1. PLAN

Plan what to say and be specific about what to stop, add, change, or continue in the future

Make a list of examples (of both effective and ineffective behaviors) that you can refer to easily during the conversation.

2. ASK

Ask the employee for input about why the behavior, performance, or situation is occuring.

Ask the employee for their opinions about strengths they can leverage.

3. DESCRIBE

Describe how the behaviors, not personal characteristics, are effective or ineffective, and how they affect others.

Ask the employee to describe what behaviors they have noticed in themselves and others.

4. LISTEN

Make it a two-way dailogue; be open to hearing the employee's view about how your own behavior may be contributing to the situation.

Practice active listening and repeat your observations back to the employee to ensure mutual understanding.

5. AGREE

Agree on how the issue will be resolved or how you will otherwise proceed.

Let the employee know that you will be available for check-ins after the formal conversation is over.

Q4 - Annual Review Conversation

Reflect on the Past

- ✓ Contributions and accomplishments
- ✓ Challenges, opportunities
- ✓ Skills developed and demonstrated
- ✓ Lessons learned
- ✓ Most valuable feedback, resources, support

Think about the Future

- ✓ What to keep doing
- ✓ What to stop doing
- ✓ What to do differently
- ✓ Skills to leverage, skills to develop
- ✓ Career/assignment goals
- ✓ What resources, direction, support needed?

The culture change <u>FSOs</u> asked for requires new skills, habits, and commitments from supervisors

- Substantive two-way quarterly conversations
- Ongoing coaching and feedback
  – Ask open-ended questions
  – Look for and leverage teachable moments
  – Request and share timely, thoughtful, honest feedback
- Positive focus on skill development
  – Discuss skill development objectives and plans
  – Create professional development opportunities
- Confront performance problems early and honestly
- Contact HCTM and/or GC if there are conduct problems or persistent performance problems
- Look for new ADS 464 – coming soon

AND…perhaps a little more openness to honest feedback from employees
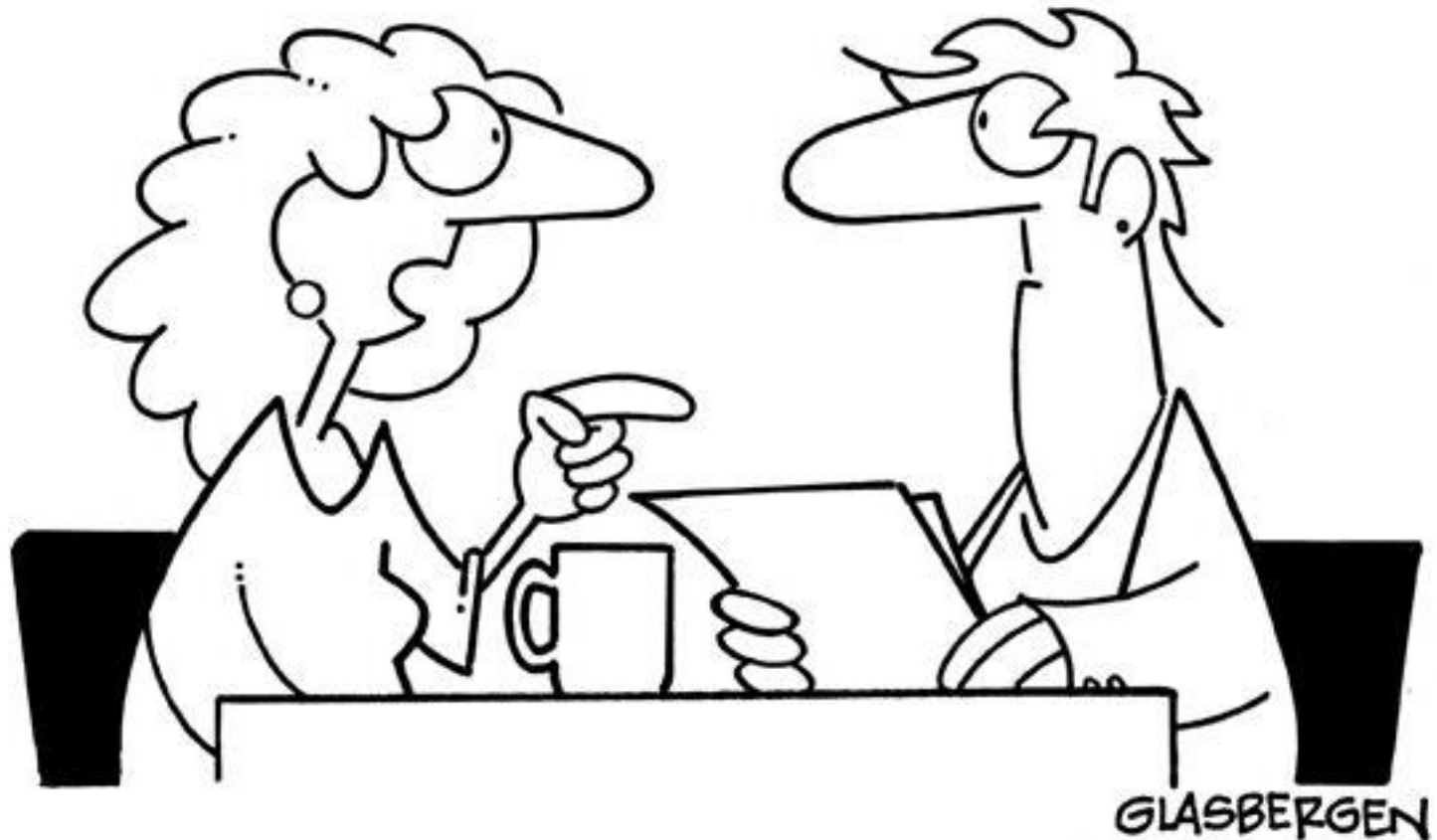
"Your advice is very important to me, so I wrote down exactly what I want you to say."

GLASBERGEN

Employee Performance and Development (EP&D) Requirements

Supervisor

- Conduct **Annual Review Conversation**; confirm date

- Do **Skills Assessment**

- Review and sign **Annual Accomplishment Record (AAR)**

- Complete and sign **Annual Performance Evaluation**

Employee

- Participate in **Annual Review Conversation**; enter date

- Participate in **Skills Assessment**

- Write **AAR(s)** and review with supervisor(s)

- Sign **Annual Performance Evaluation**

Employee Performance and Development (EP&D) Requirements

ADS Chapter 461

Foreign Service and Senior Foreign Service Performance Management & Development Programs

**Full Revision Date: 06/26/2018
Responsible Office: HCTM/CPE
File Name: 461_062618**

- https://www.usaid.gov/sites/default/files/documents/1877/461.pdf

ADS Chapter 461

461.4.3 Mandatory Forms (Links to Forms Directory)

Effective Date: 06/26/2018

a. AID Form 400-1B, Appraisal Input Form

b. AID Form 461-1, Foreign Service Annual Performance Evaluation Form

c. AID Form 461-2, Employee Statement

d. AID Form 461-3, Foreign Service Skills Assessment Form

e. AID Form 461-4, EP&D Quarterly Conversation Record

f. AID Form 461-5, Annual Accomplishment Record

h. AID Form 461-6, AEF Senior Foreign Service Form

g. AID Form 463-4, Promotion Input Form (PIF)

461.4.2 Internal Mandatory References

d.   ADS 461mab, Employee Performance & Development Guidebook for Supervisors

e.   ADS 461mac, Employee Performance & Development Guidebook for Employees

FS Skills Assessment

What is it?

- Discussion about subskills informed by 360 feedback

Who does it?

- Supervisor, in discussion with employee

When is it done?

- Anytime, but always at end of performance cycle and/or

What is it used for?

- Employee's Professional Development

FS Skills Assessment			
Recommended Goals or Actions:	Improve / Grow	Stay On Track	Coach/ Mentor Others
Leadership			
Building Consensus & Partnerships			
Contextual Awareness & Political Astuteness			
Motivation & Empowerment			
Vision			
Results and Impact Focused			
Accountability for Results			
Problem Solving			
Taking and Managing Risks			
Technical & Substantive Expertise*			
Professionalism			
Adaptability & Flexibility			
Communication			
Cross-Cultural Competence			
Interpersonal Skills			
Teamwork			
Talent Management			
Supports EEO, Diversity, and Inclusion			
Professional Development			
Supervision & HR Management (only required for FSOs in supervisory positions)			

Annual Accomplishment Record

What is it?

- Record of accomplishments and contributions – 75 words or less

Who does it?

- Employee writes it, supervisor reviews and signs

When is it done?

- End of performance cycle and/or
- Whenever supervisor changes (after 60+ days)

What is it used for?

- Supervisor's end of year evaluation
- Promotion Board review process

Section 2 – Position Information		
Position AOSC Title:	**Functional Title:**	**Position Backstop**:

Bureau/Independent Office/Mission:
Exceptional or unusual challenges in the B/IO/Mission that specifically impacted the employee this year *(*100 word limit):   **Position Duties and Responsibilities** *(100 word limit):*

Section 3 - Significant Contributions and Accomplishments during the AAR period *(No more than five Contributions/Accomplishments; 75 word limit per block)*

Context for Accomplishments

Operating Unit Context Statement
- written by mission or B/IO
- standardized format
- covers political situation, portfolio

Exceptional challenges that specifically impacted the employee
- situations, crises, challenges impacting your position
- challenges not mentioned in OU Context Statement

Position duties and responsibilities
- day-to-day job
- additional responsibilities/assignments

Sample Operating Unit Context Statement

Section 1 – Operating Unit (OU) Information		
Name of OU: Freedonia	**Performance Appraisal Cycle**: 2018	
Number of OU Staff: 24	**Number of Foreign Service Officers in OU Staffing Plan: 6** **Current Number of FSO Positions Filled: 4**	

Section 2 – OU Context
Describe the operating context for the OU, including any challenges that impacted staff and the achievement of OU goals and objectives (600 word limit total):

Country Context

The Republic of Freedonia is a small, landlocked Balkan country with a population of five million ethnically diverse citizens. Formerly one of six republics of Yugoslavia, Freedonia gained independence in 1990 and has struggled to overcome ethnic divisions, a legacy of inefficient state-run enterprises, and weak citizen engagement in democratic institutions. While significant progress has been made in preparedness to join the European Union, a USG foreign policy priority for the country, Freedonia's entry remains blocked until it completes selected reforms in political processes, inclusive governance, and market preparedness. Although Freedonia continued to realize modest economic growth of 2.5 % in 2016, there has been little growth in average incomes and unemployment remains close to 33 percent, approaching 50 percent for youth. The concentration of power within the executive branch of government challenges the independence of the media and the judiciary and weakens political will to address key issues. Political conflict between the leading ethnic-based party in power and the main opposition party became severe in November 2016 when the opposition party publicly released wiretapped conversations allegedly recorded by Freedonia's intelligence service that indicate extensive executive branch interference in elections, judicial decisions, and media coverage. Tensions between ethnic Freedonians (60 percent of the population) and ethnic Balkanites (25 percent of the population) remain just below the surface and have the potential to lead to conflict and instability, especially given support for greater autonomy for Balkanites from a neighboring country. In addition, there are minority groups who have long been excluded from the mainstream including the Roma.

USAID Program Priorities

USAID Freedonia has an approved Country Development Cooperation Strategy for the period 2015-2020 that promotes economic growth, democratic governance, and improved basic education. The economic growth portfolio aims to remove policy barriers to E.U. accession, and to reduce unemployment particularly among youth through small business development and innovative internships in private companies. The education portfolio focuses on promoting integration and reduced tensions between the main ethnic groups in an education system still segregated by languages, and inclusion of Gypsies and other historically marginalized groups. USAID/Freedonia's largest portfolio is in the democracy and governance sector. It aims to strengthen the capacity and sustainability of independent media and local non-governmental organizations that promote accountable governance and transparent political processes; to reform electoral laws; and to develop a new generation of young political leaders. Freedonia also experiences frequent natural disasters from landslides and flooding, which have resulted in several USAID disaster assistance grants each year.

Resources and Functions

USAID Freedonia has a staff of 24, including four U.S. Direct Hires (USDH), two U.S. Personal Service Contractors (USPSCs), and 18 Foreign Service Nationals (FSNs). The Mission is headed by a Mission Director and has three offices: a Program Office, a Democracy and Governance Office and a General Development Office each headed by a USDH. It receives significant technical, financial, legal and procurement support from the regional support mission based in Hungary. The mission has a total portfolio value of $110 million and manages 18 grants and contracts. Its FY2018 budget from USAID bilateral, regional, and global sources is $17 million.

Annual Performance Evaluation

What is it?

- Official Rating of Record for the year, stored in the eOPF

Who does it?

- Supervisor

When is it done?

- End of performance cycle

What does it consist of?

- A single Satisfactory or Unsatisfactory rating

- For Unsatisfactory ratings only –Performance Improvement Plan (PIP) dates and summary

Section 2 – Annual Overall Evaluation
For Rating Official Use
___ FS/SFS Skills Assessment completed and discussed with employee
Assessment of employee's overall performance during the rating period based on fulfilling responsibilities of the role, meeting work expectations, contributions to the unit, and levels of FS skills demonstrated: ___ **Satisfactory**   ___ **Unsatisfactory ***

* A supervisor may only mark Unsatisfactory if the employee was put on a 90 day PIP and failed it.

Promotion Process

It's going to be okay… Take a deep breath and smile!

New Promotion Policies

ADS Chapter 463

Foreign Service Promotion Boards and Senior Foreign Service Performance Boards:
Promotion Eligibility Requirements and Procedures

Partial Revision 12/07/2018

Responsible Office: HCTM/CPE

File Name:

ADS Chapter 463

463.6.3 Mandatory Forms

a. AID Form 461-1, Foreign Service Annual Performance Evaluation Form

b. AID Form 461-1b, Foreign Service Promotion Waiver Request

c. AID Form 461-5, Annual Accomplishment Record

d. AID Form 461-6, AEF Senior Foreign Service Form 22

e. AID Form 463-3, Senior Foreign Service Promotion Application

f. AID Form 463-4, Promotion Input Form (PIF)

g. AID Form 463-5, Operating Unit Context Statement Template

New Promotion Precepts

Precepts for Foreign Service Promotion Boards:

A Mandatory Reference for ADS 463

Full Revision: 12/20/2018
Responsible Office: HCTM/CPE
File Name: 463mai_xxxxxx

The BIG changes to the Promotion Process

- Only promotion eligible FSOs go to the Promotion Boards (including eligible FS-01's who don't open window)

- AEFs replaced by Annual Accomplishment Records (AARs), Promotion Input Forms (PIFs) and Multisource Ratings (MSRs)

- Appraisal Committees eliminated (except for SFS)

- Promotion factors/decision criteria clearly spelled out and equally weighted

- Promotion Boards, not PSBs assign C's; criteria for assigning C's broadened to reflect Sec 602 and 608 of FS Act

- Report card comments eliminated except for C's; but class summaries of MSRs provide context/relative standing

- Full day of training for 2019 Boards

Major Promotion Package Components

Promotion Input Form:

Written by Employee
- Employee describes how they demonstrated each skill and their understanding of and ability to advance the Agency's mission

Written by Supervisor
- Supervisor narrative supplements or elaborates on or balances employee write-up

Can include examples since last promotion. Updated each year eligible; only one per promotion package

Records for up to 5 years included; often more than one per performance cycle since completed every time supervisor changes.

Individual MSR Reports included for every year available for up to 5 years. Reports only available for years competing for promotion.

Annual Accomplishment Record:

Written by Employee
- Blocks for responsibilities and challenges
- Blocks for brief descriptions of 5 significant contributions and accomplishments

Confirmed by Supervisor
- Employee writes; supervisor verifies accuracy

Multisource # Ratings on Skills:

Ratings from peers, and subordinates - CONFIDENTIAL
- Averages from each group for each core skill

Ratings from supervisor
- Average ratings for each core skill

Results for each Board
- Means and distributions for each core skill

Promotion Input Form

Section 1 – Employee Information	
Name:	Personal Grade:
Position Backstop:	Other Backstops:
Date of Last Promotion or Hire (month/year):	Current Location:
Current Job/Position Title:	Functional Role:

Section 2 – Core Skills

In each block below, provide one or two examples of how you have demonstrated the relevant Core Skill (as defined in the FS/SFS Skills Framework) in the context of a contribution or an accomplishment. Briefly describe the situation, what you did (highlighting specific actions relevant to the core skill), and the outcome. (*250 word limit per Core Skill block*)

a. Core Skill: Leadership (see FS/SFS Skills Framework for definitions)

Example #1: Location: _____ Position:_____ Supervisor: _____ *Timeframe:*_____
Example #2: Location: _____ Position:_____ Supervisor: _____ *Timeframe:*_____

b. Core Skill: Results and Impact Focused (see FS/SFS Skills Framework for definitions; at least one example should demonstrate backstop-specific expertise)

Example #1: Location: _____ Position:_____ Supervisor: _____ *Timeframe:*_____
Example #2: Location: _____ Position:_____ Supervisor: _____ *Timeframe:*_____

c. Core Skill: Professionalism (see FS/SFS Skills Framework for definitions)

Example #1: Location: _____ Position:_____ Supervisor: _____ *Timeframe:*_____
Example #2: Location: _____ Position:_____ Supervisor: _____ *Timeframe:*_____

d. Core Skill: Talent Management (see FS/SFS Skills Framework for definitions)

Example #1: Location: _____ Position:_____ Supervisor: _____ *Timeframe:*_____
Example #2: Location: _____ Position:_____ Supervisor: _____ *Timeframe:*_____

Promotion Input Form (cont)

Section 3 - Understanding of and Ability to Advance the Agency Mission
In the block below, provide an example of how you positively advanced the Agency's Mission and U.S. foreign assistance objectives acting individually, as a member of a team (e.g., interagency, within or across B/IOs), or in partnership with local actors or other key external stakeholders. Describe the situation, your actions, the impact of your actions, and if applicable, what you learned from the experience. (250 word limit)
Location: _____   Position:_____   Supervisor: _____   *Timeframe:_____*

| Section 4 – Rating Official Input	
☐ a. Employee's summary is consistent with what I have learned and observed.	☐ b. Employee's summary is *not* consistent with what I have learned and observed.

If you checked box a. above, use the space below to provide supplementary information the Promotion Board might find useful in assessing the candidate against the six promotion decision criteria outlined in ADS 463.

If you checked box b. above, use the space below to provide an explanation, and any additional information that will help the Promotion Board assess the candidate against the promotion decision criteria.

In both cases, note also whether the employee's performance is indicative of readiness to perform at the next grade level or if the employee could benefit from career broadening experiences at his/her current level.

(250 word limit)

Multisource Ratings (MSRs)
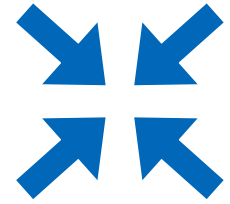
MSRs do NOT replace 360 Feedback!

360 Feedback

- When: Supervisors need to collect 360 feedback year round

- Why: Purpose is to inform coaching and feedback discussions

- Format: Qualitative with specific examples, context, ideas for what to stop, start, continue

MSRs

- Collected only in April, only for promotion eligible

- Primary purpose is to inform promotion decisions

- Format: Numeric ratings, no narratives, results aggregated across raters, guaranteed confidentiality

Multisource Ratings (MSRs) Phased In
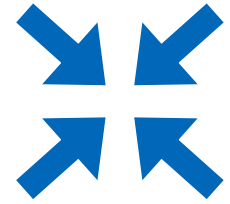
- Nov 2018 - Pilot test for implementation issues and to let FSOs experience the process; results NOT seen by Boards or supervisors (results coming soon!)

- Spring 2019 – Promotion eligible FSOs get MSRs

- Summer 2019 – Promotion Boards see MSRs only after completing initial assessments; used for tie breaking

- Fall 2019 – Jan 2020 Year one evaluation and refinements

- Spring 2020 - Promotion eligible FSOs get MSRs

- Summer 2020 - Promotion Boards get 2019 and 2020 MSRs with rest of the performance file;
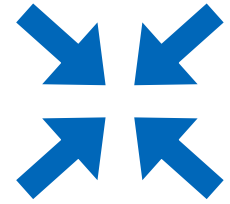
Multisource Ratings (MSRs)
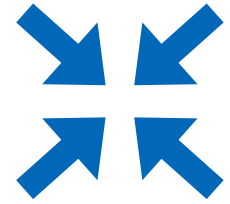
MSR Process Controlled and Simple

✓ Items (15-20) ask about observable behaviors

✓ Numeric ratings - no narrative

✓ Rater selection process based on meeting criteria

✓ Training required for all raters

✓ **Peer and subordinate rater identities are strictly protected**

40

Multisource Ratings (MSRs)

Why Add MSRs to the promotion process?

- Assessment center ratings are valid, useful predictors of future success for managers (validities .37 – 43; multiple studies and meta-analyses)

- Peer and subordinate ratings are valid predictors of future performance (Kane &Lawler, 1978, 13 studies, mean validity r=.49)

- Predictions of future performance are more accurate when you add peer and subordinate ratings to supervisory ratings (Atkins & Wood, 2002, validity coefficients increase from .29 to .39)

- *"Appraising managerial potential is best accomplished by using the collective judgment of multiple assessors, rather than a single individual." (Fleenor and Brutus, 2000)*

Sample Multisource Rating Items
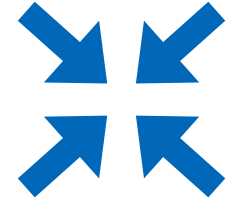
1 Not at all	2 To some extent	3 To a moderate extent	4 To a great extent	5 To a very great extent	O NA/Don't know

To what extent does this employee...

- Show understanding of the country context and make efforts to incorporate local priorities, needs and resources into USAID programs.

- Support my work by helping me to anticipate and avoid problems and resolve them when they occur.

- Include colleagues with different skills or backgrounds in relevant discussions or activities and demonstrate respect for their differing viewpoints.

- Willingly take on new or less desirable tasks to support the team and achieve Agency priorities.

- Effectively manage and work with people who are different from him/herself, including host country nationals.

Multisource Ratings (MSRs)
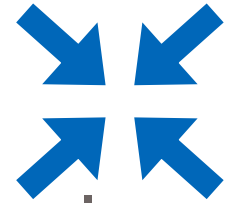
MSR Results used by Promotion Boards to Supplement Employee and Supervisor Assessments of Skills

- ✓ Boards see averages plus frequency distributions so outliers are apparent
- ✓ Boards trained in detecting and determining how to handle outliers
- ✓ MSR Class Reports provide context and meaning
- ✓ HCTM research team looks for anomalies in response patterns, suspect data

MSR Results also used by Employees and Supervisors for Professional Development:

- ✓ Results of promotion MSRs shared with supervisors
- ✓ Guidance provided for interpreting and using MSR results
- ✓ Norms for class let FSOs see where they stand relative to peers
- ✓ Items let recipients see what they might need do differently

Promotion Decision Factors

6 Primary Factors – equally weighted

- Understanding of and ability to advance the Agency's mission.

- Degree of difficulty, complexity, and challenge of the work performed.

- Proficiency and consistency in demonstrating <u>four</u> required FS/SFS Skills

1 Secondary Factor – limited application

- – nature and variety of assignments

- – considered for "potential A's" – limited weight

Reference: 463mai – FS Promotion Board Precepts

Sample Board Summary Scoring Sheet

			Promotion Board Scoring Sheet		

Candidate Name/ID Number	Current Grade	Backstop	Location	Rating Official	
Joe Sample	FS-03	95	DRC	Molly Super	

Dimensions (Core Skills and Factors)	Board Member #1 Ratings	Board Member #2 Ratings	Board Member #3 Ratings	Board Member #4 Ratings	Total Score
Leadership	3.5	4.0	4.0	4.5	4.0
Results and Impact Focused	4.0	4.0	4.5	4.5	4.25
Professionalism	2.0	3.5	3.0	3.0	2.875
Talent Management	3.5	3.5	4.0	4.0	3.75
Degree of difficulty, complexity, and challenge	4.0	4.5	4.5	4.5	4.375
Understanding of and ability to advance the Agency's Mission	3.5	3.5	3.0	4.0	3.5
				Candidate's Overall Rating	**3.79**

Note. If an individual Board Member's rating on a dimension is greater than 1-point different from any other Board member's rating, the Board must discuss and members must revise ratings so the difference in members' ratings on the dimension is 1-point or less.

Board Recommends for Promotion	

Promotion Boards Still Look for Underperformers

FSOs may be recommended for mandatory retirement if a Board determines that they are not meeting the standards of performance for their class (Section 608 of the FS Act of 1980)

This is what a "C" means – FSO does not have to be "unsatisfactory"

Promotion Boards review multi-year packages for "C's"

– No second PSB review required to assign a "C"

– After 2 C's in 5 years (not 3) FSO may be recommended for mandatory retirement**

**Employees, regardless of whether they are up for promotion, can get a C for failing a PIP*

Promotion Process Streamlined

Promotion Packages and Promotion Board Reviews for

Promotion Eligible Candidates only

~~Appraisal Committee Reviews~~

~~Performance Standards Boards~~

Need for AC eliminated by simplified annual evaluation process, employee responsibility for Promotion Input Form, better coaching and training.

Responsibility for assessing failure to meet performance standards of the class ("C's") shifted from PSB to Promotion Boards.

The Promotion Process Challenge

An effective promotion process:

1. Based on unambiguous criteria or decision factors
    - ✓ Decision criteria clarified in precepts for 2019
        - • Understanding of and ability to advance the Agency's mission
        - • Difficulty, complexity, and challenge of the work performed
        - • 4 Core skills in FS/SFS Skills Framework
    - ✓ 6 factors equally weighted (not up to each Board)

2. Includes pertinent information from multiple sources
    - ✓ Info from multiple sources to minimize bias
    - ✓ Clear links between info provided and decision factors

The Promotion Process Challenge

An effective promotion process:

3. Allows candidates to be clearly differentiated
   - ✓ Now have behaviorally anchored numeric ratings
   - ✓ Now have more objective records of contributions and accomplishments

4. Has clear and standardized processes
   - ✓ 2019 Board training longer and stronger; clear procedural precepts
   - ✓ Uniform weighting of decision factors across Boards

How the Processes Fit Together

Employee Performance & Development

Quarterly Conversation Record

Set Expectations and Plan for Development
Supervisor and employee meet to set objectives and discuss long- and short-term priorities and expectations

Ongoing Coaching & Feedback
Supervisor and employee have quarterly check-ins to discuss changes to priorities, clarify expectations, and discuss progress, performance, training, and other support needs

Annual Review
Supervisor and employee complete required forms and meet to discuss performance and skill development needs

Annual Accomplishment Record
- Block for description of responsibilities and challenges
- Blocks for brief descriptions of 5 significant contributions and accomplishment for the year
- Employee writes; supervisor verifies accuracy

FS Skills Assessment
- Supervisor assesses skills on form
- Results inform review discussion with employee

FS Annual Performance Evaluation
- Supervisor rates performance as Satisfactory or Unsatisfactory
- Narrative only required if Unsat
- Unsat rating only allowed after an opportunity to improve (PIP)

Promotion Package

Promotion Input Form
- Employee describes how they demonstrated each skill and their understanding of and ability to advance the Agency's mission
- Supervisor narrative supplements or elaborates on or balances employee write-up

Multisource Ratings Results
Includes input from peers, subordinates, and supervisors on items linked to Skills Framework

BioEDR
Includes employee history such as assignments, training, foreign language skills, and awards

Operating Unit Context Statements
Includes key information on the country context, Mission/Office program, priorities, staffing, and budget

Annual Accomplishment Records
- Block for description of responsibilities and challenges
- Blocks for brief descriptions of 5 significant contributions and accomplishment for the year
- Employee writes; supervisor verifies accuracy
- Boards see records from current year and last 4 years

Annual Performance Ratings
- FS Annual Performance Evaluation Forms indicating Sat/Unsat from current year and last 4 years