

Ohio National Guard Joint Instruction 1400.25, Vol 431

Performance Management

**Ohio National Guard Technician
Performance Management
Program**

Ohio Army and Air National Guard
Human Resource Office
Columbus, OH 43235-2789
04May2018

UNCLASSIFIED

SUMMARY of CHANGE

TPR 430

Performance Management Ohio National Guard Technician Performance Appraisal Program effective 04MAY2018

- Changes the Performance Management Cycle to 1 April-31 March
- Implements CNGBI 1400.25, Vol 431, dated 24 January 2018, National Guard Technician Performance Appraisal Program.
- Implements the My Performance Appraisal System.
- Changes Rating System from 5 Tiers to 3 Tiers.
- Changes Minimum Rating Period from 120 days to 90 days.
- Changes rating cycle from 1 April to 31 March.

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Human Resource Office
Columbus, OH 43235-2789**

Performance Management

Ohio National Guard Technician Performance Management Program

By order of The Adjutant General for Ohio:

**Mark E. Bartman
Major General
The Adjutant General**

Official:

**WILLIAM K. GIEZIE, P.E.,
Col, OHANG
Director of Manpower and Personnel, J1**

History. This publication implements CNGBI 1400.25, Vol 431, dated 24 January 2018, replaces Ohio Technician Personnel Regulation 430.

Summary. This regulation prescribes one performance management program for all dual-status Ohio National Guard Technicians employed under the provisions of 32 USC 709.

Applicability. This regulation applies to all dual-status Ohio National Guard Technicians employed under the provisions of 32 USC 709 except for technicians occupying temporary positions.

Proponent and exception authority. The proponent of this regulation is the Adjutant General of Ohio. The proponent has the authority to approve exceptions to this regulation when they are consistent with controlling laws and regulation.

Management Control Process. This regulation is not subject to the requirements of Army Regulation (AR) 11-2 (Management Control) or Air Force Instructions (AFI).

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Chapter 1 General Information

1-1. Purpose

This regulation establishes the Performance Management Program for Ohio National Guard Technicians and is consistent with Chief National Guard Bureau Instruction (CNGBI 1400.25, Vol 431), (24 January 2018). The program utilizes a multi-level summary rating method that makes distinctions among technicians or groups of technicians on the basis of their job performance.

1-2. References

Required and related publications are listed in Appendix A.

1-3. Explanation of abbreviations and terms

Abbreviations and special terms in this regulation are explained in Appendix B.

1-4. Responsibilities

a. **The Chief, National Guard Bureau (CNGB)** serves as the strategic focal point in developing, managing and integrating employment of National Guard capabilities for the Office of the Secretary of Defense, the Joint Staff and the Departments of the Army and Air Force in support of Combatant Commanders; administers DoD, Joint, Army and Air Force programs; acquires, distributes and manages resources; coordinates departmental policies and programs for the employment and use of National Guard technicians under section 709 of Title 32 United States Code in accordance with the National Guard Bureau Charter.

b. **Manpower and Personnel Directorate (NGB-J1)** serves as the primary advisor to the CNGB on all personnel and manpower issues in the National Guard; and provides the CNGB with oversight on human resource technician program development, staffing and execution of policies, plans and programs concerning technician employment. The Director of NGB-J1 will oversee the NG Technician Performance Appraisal Program.

c. **Technician Personnel Division, NGB-J1-TN**, is the primary advisor to NGB-J1, commanders, staff and operating officials on all human resource programs pertaining to technicians assigned to the National Guard; develops, maintains and revises technician performance management and appraisal regulations. NGB-J1-TN also establishes policy, plans, and programs concerning technician employment.

1) Oversee the implementation, application, and evaluation of performance management programs within the NG.

2) Ensure that the NG Performance Appraisal Program procedures and requirements are applied IAW this instruction.

3) Ensure that new supervisors and technicians, as well as those transferred or promoted, receive information and are properly oriented to the NG Performance Appraisal Program.

d. **The Adjutant General (TAG)**. TAGs will:

1) Hold managers and supervisors accountable for proper operation and administration of the NG Technician Performance Management Program.

2) Communicates with supervisors and technicians, through formal training, about relevant parts of the NG Performance Appraisal Program.

3) Establishes state review and appeal processes to review and resolve complaints about assigned ratings.

4) Ensures that managers and supervisors are appraised on performance in furthering Equal Opportunity goals and objectives and other supervisory leadership critical elements.

5) Ensures that written performance plans are established for each technician position, including those serving in a trial/probationary period.

e. Director of Manpower and Personnel, J1/Human Resource Officer (HRO):

1) Provides oversight, with primary responsibility to The Adjutant General, on the state's human resource technician program development, staffing, and execution of policy, plans and programs concerning technician performance management and appraisal.

2) Assists managers in establishing the NG Technician Performance Appraisal Program that provides a meaningful, efficient method for the evaluation of individual, team (where elected), and organizational performance in partnership with technicians and their union representatives IAW reference r.

3) Administers the NG Technician Performance Appraisal Program and provides timely advice and assistance to managers, supervisors and technicians.

4) Develops and conducts training necessary to ensure all personnel involved in the appraisal process are adequately trained in the NG Technician Performance Appraisal Program including responsibilities of all parties.

5) Notifies supervisors and managers of due dates for technician performance ratings and follows up when not received in a timely manner.

6) Reviews completed ratings for timeliness, completeness, and conformity with the regulatory requirements.

7) Maintains necessary records, evaluates effectiveness of the performance management program and advises the Adjutant General on issues requiring refinement or improvement.

8) Ensures that necessary personnel actions or decisions are taken in timely manner, based on the performance appraisal.

9) Establishes and administers the state's reconsideration and appeal process.

f. **Managers and supervisors** are charged with the responsibility, and will be held accountable, for effectively managing the performance of assigned technicians to include but not limited to:

1) Executing the requirements of this subchapter in a manner consistent with merit system principles, IAW reference S.

2) Ensuring that technicians are trained in the NG Technician Performance Appraisal Program.

3) Clearly communicating the performance plan to technicians and holding technicians responsible for accomplishing their critical elements and performance standards.

4) Aligning performance plans and technicians development with organization mission and goals.

5) Developing written critical elements and performance standards for performance plans.

6) Providing technicians with meaningful, constructive and candid feedback relative to their performance, including at least one documented interim review.

7) Ensuring technicians are aware of the opportunity to provide a self-assessment;

8) Fostering and rewarding excellent performance.

9) Addressing poor performance.

10) Making meaningful distinctions among technicians, based on their performance and the technicians contributions aligned with the strategic goals and objectives.

11) Completing closeout assessments, annual appraisals, and special purpose appraisals as appropriate.

12) Ensuring that eligible technicians are assigned a rating of record, as prescribed by this regulation.

g. Technicians are encouraged to:

1) Engage in dialogue with supervisors to develop written critical elements and performance standards.

2) Identify and record their accomplishments and results throughout the appraisal period;

3) Participate in interim reviews and the end-of-year assessments, including the self-assessment; and

4) Understand the link between their performance standard, conduct and organization mission and goals.

5) Provide written input about their performance accomplishments for supervisors to consider in evaluating each of the performance elements and overall performance accomplishments. Technician input is highly encouraged and valuable for progress reviews during

and at the end of the appraisal cycle where the technician input becomes a part of the technician performance file.

h. **Higher Level Reviewer (HRL).** The HRL will review and approve a rating of record of “Unacceptable” (Level 1).

1-5. Objectives

The objective of the performance management program is to provide a meaningful and efficient method for the evaluation of individual, team and organizational performance. Supervisors and managers will ensure technicians clearly understand their critical elements and performance standards and ensure technician’s performance is rated in a timely manner. In achieving these objectives, the performance appraisal program shall:

- a. Be aimed at meeting organizational and mission goals and objectives and management processes.
- b. Be designed and used as tools for executing management and supervisory responsibilities, and communicating and clarifying organizational goals and objectives to technicians.
- c. Involve technicians in improving organizational effectiveness and accomplishing organizational missions and goals.
- d. Identify accountability for the accomplishment of organizational, team and individual goals and objectives.
- e. Provide for planning, monitoring, developing and evaluating performance.
- f. Use appropriate measures of performance to recognize and reward technicians, and use the rating of record as a basis for appropriate personnel actions.
- g. Support and be consistent with merit system principles.
- h. Provide appropriate training to those involved in the program.
- i. Encourage technicians to take responsibility to continuously improve their performance, support team endeavors, develop professionally and perform at their full potential.
- j. Technician Involvement. Programs shall provide for technician participation in program development, implementation, and application. For technicians who are represented by a labor organization that is accorded exclusive recognition under 5 USC 71, technician involvement shall take place consistent with the requirements of that chapter. For other technicians, organizations shall determine the method of technician involvement consistent with applicable law and regulation. Programs should encourage technician participation in establishing performance standards.

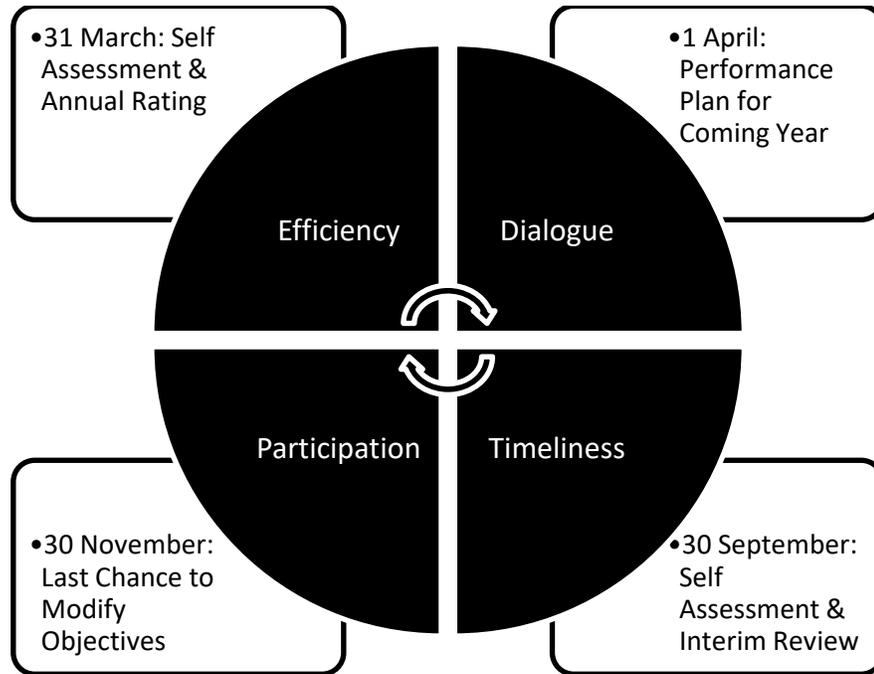
Chapter 2

Technician Performance Management Program Requirements

2-1. The Performance Management Cycle

The Ohio National Guard has one standard performance management cycle for all permanent (Tenure 1) technicians, beginning 1 April of the current year and ending 31 March of the following year. Performance plans with objectives will be established each year in April. A mandatory interim review will take place no later than 30 September. Annual appraisals will be due 31 March. The Chief of the National Guard Bureau, Adjutant General for Ohio (or designee) may designate other periods as dictated by situation or circumstance.

Figure 2-1. The Performance Management Cycle



2-2. Grandfather Provision

Administrative actions (such as an action for unacceptable performance) initiated prior to the effective date of the new performance program shall continue to be processed consistent with the procedures and requirements of the performance management program in effect when the action was initiated.

2-3. Minimum period of performance

A technician must be employed in a position and performing under an approved performance plan for 90 calendar days during the current performance management period in order to receive a rating of record.

a. Periods during which a technician is in a non-pay status (e.g., leave without pay, absence without leave) may not be applied toward the 90 calendar day minimum.

2-4. Performance Management for Trial/Probationary, Indefinite and Temporary Technicians

a. A technician serving a trial/probationary period (Tenure 2) will be carefully observed and appraised during his or her first year of employment to determine whether they have the qualities required for permanent Government service. Performance plans will be established for probationary technicians within 30 days of hire. During the probationary period supervisors should provide specific training and assistance to improve the technician's work performance, if required.

1) For retention beyond the trial/probationary period, the technician's work performance must minimally rate at the Fully Successful, Level 3 rating. A Fully Successful rating is when the technician has satisfactorily met all assigned critical elements. A supervisor wishing to remove a technician during the trial/probationary period must contact J1/HRO and forward supporting documentation.

2) A technician serving a trial/probationary period will not be given an official performance appraisal until after completing the required 12 months of Federal service. After receiving an appraisal for the first 12 months of employment, the technician's appraisal cycle will be synchronized to the standard performance management cycle.

b. A new indefinite technician (Tenure 3) will be placed on a plan using the same procedures as those described above for probationary technicians.

c. A temporary technician (Tenure 0) will not be not placed on a performance plan in the My Performance system or receive an annual rating. The first line supervisor is responsible to manage performance of temporary technicians informally.

2-5. Procedures for Technicians on Temporary Assignment (Detail, Reassignment, Change to Lower Grade, or Promotion)

a. Less than 90 days (no numeric rating possible):

1) New Supervisor. At the time of the temporary assignment, the technician, temporary supervisor and permanent supervisor shall jointly review and adjust, as necessary, previously assigned critical elements. The permanent supervisor has final authority to determine and document the appropriate critical elements and performance standards. Both supervisors will cooperate to ensure that the technician is provided meaningful feedback during the temporary assignment, and is issued at least one documented interim review during the performance year. Upon completion of the assignment, the temporary supervisor shall complete a closeout assessment for technicians who have been assigned to them for at least 30 calendar days. (See Para 2-11 Closeout Assessments)

2) Same Supervisor. If temporarily assigned to different work without a supervisory change, the technician and supervisor shall jointly review and adjust, as necessary, previously assigned critical elements. Upon completion of the assignment, the supervisor may complete a closeout assessment for applicable objective(s).

b. 90 days or more (numeric rating possible):

When a technician is temporarily assigned to work for a period covering 90 calendar days or more, the nature and timing of the assignment will dictate the adjustments in the performance management process. Temporary details and reassignments may be accommodated within the ongoing plan. A temporary promotion may require a new plan be established. To the greatest extent possible, the ongoing plan will be maintained and closeout assessments and guest raters utilized to document performance expectations and end of cycle results. Contact J1/HRO or your Air Wing HR Remote for guidance.

2-6. Postponement of Annual Performance Ratings

An annual performance rating to determine a rating of record may be postponed (with documentation of circumstances) when there has been insufficient time to observe the technician's performance in his or her present assignment. The postponement should not be extended any longer than necessary to permit 90 calendar days under the performance plan. Justifications for postponement include:

a. The supervisor or the technician is newly-assigned (less than 90 calendar days).

b. The technician has not been performing the regularly assigned work because of extended details or absences.

c. The technician has not worked under the performance plan for at least 90 calendar days.

d. The technician has been deployed for a long period of time, in which case the technician's last rating of record will be used for all official purposes until the technician returns and is observed for at least 90 calendar days under an approved performance plan.

e. Technicians who are absent at the end of the appraisal period due to a work-related injury. Eligible technicians who are still on agency rolls at the end of the appraisal period, but who are absent due to a work-related injury, will be rated based on the work performed during the appraisal period, provided they have satisfied the minimum 90 day performance period. The performance appraisal program procedures described in this regulation shall be observed to the extent practicable.

2-7. Performance Plans

a. **Aligning Performance Plans with Strategic Goals.** The DoD mission and goals cascade to the state, and resulting state mission and goals are the basis for organizational and individual performance expectations. Performance plans shall support and align with the DoD and Ohio National Guard mission and

strategic goals, organizational program and policy objectives, annual performance plans, and other measures of performance.

b. Performance Standards may include:

1) Goals or objectives that set general or specific performance targets at the individual, team, and/or organizational level. Performance standards should include specific, measurable, achievable, relevant, and timely (SMART) criteria which provide the framework for developing effective results and expectations on how well technicians perform their job to achieve the performance level. Specific – Describe expected accomplishments.

- Measurable – Performance element is clear and is quantified or substantiated using objective criteria.
- Achievable – Goals are realistic, yet challenging and accomplished with the resources, personnel, and time available.
- Relevant – The critical element aligns with or links to organizational mission and success.
- Time – Complete goals within realistic timeframes.

2) Organizational, occupational, or other work requirements, such as standard operating procedures, operating instructions, manuals, internal rules and directives, and/or other instructions that are generally applicable and available to the technician.

3) Particular work assignments or other instructions may be used to amplify performance expectations. These work assignments or instructions may specify the quality, quantity, accuracy, timeliness, or other expected characteristics of the completed assignment or some combination of such characteristics. Such assignments and instructions need not be in writing.

c. Developing Performance Elements

1) Each technician shall have his or her work assignments or responsibilities described in a performance plan as a performance element. Performance Elements are comprised of critical elements and supervisory elements. Each supervisor is encouraged to involve the technician in developing a performance plan prior to requesting approval from a higher level reviewer. Normally, this process will include at least one face-to-face discussion between supervisor and technician. Communication between supervisor and technician is critical to the success of the performance management program. Supervisors and technicians should have meaningful dialogue on performance expectations. Dialogue should include but is not limited to establishing and adjusting job objectives appropriate for the grade and current salary to which the technician is assigned, how job objectives relate to organizational mission and goals, and the weight of each objective, if applicable. Final decisions regarding job objectives are within the sole and exclusive discretion of management. (See Appendix C for more on this topic.)

2) Each technician shall be assigned at least three and no more than ten performance elements. It is recommended as a best practice to limit the number of performance elements to five. Performance Elements shall be commensurate with duties and responsibilities assigned to the technician and the salary paid to that technician.

3) Performance Elements may be weighted to reflect relative priority of the elements included in the performance plan. No objective may be weighted less than 10 percent. Weighted objectives must total 100 percent. If performance elements are not weighted they are mathematically equal.

4) Performance Elements must be written carefully to include the significant duties of the position.

d. Performance Elements. Performance elements must be aligned with the organization's goals, and describe the expectations related to the work performed. Performance elements include:

1) **Critical Element.** Critical elements measure individual performance and are work assignments or responsibilities of such importance that intolerable performance on the element would result in a determination that a technician's overall performance is rated as

"Unacceptable., Performance plans must include at least three critical elements; all must have associated performance standards that define expectations. Supervisors will not establish critical elements for team performance.

2) **Supervisory Element.** All performance elements related to supervisory duties are critical elements. The number of supervisory performance elements on performance plans for supervisors will equal or exceed the number of non-supervisory critical elements. One of the supervisory critical elements may require accountability for the effective administration of Equal Employment Opportunities, safety, or other component-specific requirements.

e. **The Performance Plan.** Every technician shall be issued a performance plan containing critical elements and performance standards written as a series of Performance Elements in the My Performance Plan. The critical element is the title of the Performance Elements and the performance standard is the narrative portion (1000 character limit).

1) Performance plans shall be in place and communicated to the technician normally within 30 days from the start of the rating cycle, entrance on duty of a new technician, or technician job change.

2) **Approval of Performance Plans.** The performance plan is written by the rating official (with input by the technician encouraged) and subject to review by the approving official to ensure consistency and fairness within and across organizations. The performance plan is in place after the approving official review is complete and the plan has been communicated by the supervisor to the technician, in writing. The supervisor shall record the technician's receipt of the performance plan and the manner in which it was provided (face-to-face, telephone, etc.) to the technician using the My Performance. It is expected that the performance plan will normally be communicated to the technician by the rating official face-to-face.

f. Technicians are accountable for demonstrating professionalism and standards of appropriate conduct and behavior, such as civility and respect for others. Performance expectations, even if not stated in a critical element, include the general behavioral expectations for all technicians as stated in the Standards of Ethical Conduct for Technicians in the Executive Branch, the DoD Joint Ethics Regulation, applicable military regulations and in Technician Personnel Regulations, Chief of NGB Instruction.

g. The process for establishing a performance plan is as follows:

- 1) The supervisor goes into the My Performance in MyWorkplace and selects the Create Plan button.
- 2) The supervisor enters the plan start and end dates, and validates the names of the rating official and higher level reviewer.
- 3) The supervisor meets with the technician and obtains input into the structure and content of potential objectives.
- 4) The supervisor (or technician) enters the Mission Goal statement and prepares the first draft of the job objectives.
- 5) The supervisor finalizes the draft objectives, and engages with the higher level reviewer for approval. Approval may be documented in the My Performance by transferring the file to the HLR (option A) or by supervisory certification (option B).
- 6) The supervisor communicates the result to the technician, and obtains acknowledgement from the technician.

h. **Modifying Performance Plan During Appraisal Cycle.** All approved modifications must be discussed with the technician. If considering a change to an element or standard within 90 calendar days of the end of the appraisal cycle when work requirements change or new duties are assigned, the supervisor may:

- 1) Revise the element or standard at the beginning of the next appraisal cycle. If the technician does not have an opportunity to perform the new element(s) for the minimum 90-calendar-day period, do not rate the revised element(s). Update the plan.
- 2) Extend the appraisal cycle by the amount of time necessary to allow 90 calendar days of observed performance under the revised element or standard. Extending the appraisal cycle will

affect the start date of the technician's subsequent appraisal cycle; however, the subsequent appraisal cycle shall end 31 March of the following calendar year.

i. Retention Schedule and Transferring Technician Performance Files. Retain performance ratings of record and performance plans for four years or as required by Section 293.404 of reference q. Supervisors and technicians can print performance records they wish to maintain beyond the four-year period. When a NG technician transfers to another DoD Component or is assigned to another organization within the NG; the organization, IAW Sections 430.209 and 293 of references c and q, must transfer the most recent 4 years rating of record and any subsequent performance ratings.

j. Monitoring Performance. Supervisors must monitor performance throughout the appraisal cycle to provide timely feedback on meeting expectations. Supervisors or technicians initiate progress reviews and document the reviews in the MyPerformance Tool. IAW reference b, technicians must have at least one documented progress review. Providing additional progress reviews throughout the appraisal cycle is encouraged. During progress reviews, do not give technicians a performance rating on each critical element.

k. Technician Input. The absence of technician input does not relieve the supervisor of the responsibility for writing a narrative statement assessing the technician's performance standards and contributions.

l. Performance Narrative. Performance narratives are required for each element rated "Outstanding" and "Unacceptable." Additionally, performance narratives are highly encouraged for each element rated "Fully Successful" as a means of recognizing all levels of accomplishments and contributions to mission success.

2-8. Supervisory Element

a. Mandatory Supervisory Element for Supervisors. A supervisor's performance plan shall include at least one managerial/leadership supervisory element. The mandatory supervisory element will hold supervisors accountable for carrying out the responsibilities outlined in this regulation, including but not limited to:

- 1) Clearly communicating the performance plan and holding technicians' responsible for accomplishing their supervisory elements and performance standards.
- 2) Making meaningful distinctions among technicians, based on performance and contributions, aligned with strategic goals and objectives.
- 3) Fostering and rewarding excellent performance.
- 4) Addressing poor performance.
- 5) Assuring technicians are assigned a rating of record and complying with the appeals process.
- 6) Adhering to laws and regulations concerning merit system principles and prohibited personnel practices.
- 7) Ensuring continuing application of and compliance with EEO laws, regulations and policy, and the effective administration of EEO.
- 8) Enforcing safety regulations and fostering a safe workplace.

b. The supervisory element is meant to provide an encompassing block for supervisors to be rated on and receive credit for their supervisory duties. Appendix D provides a sample supervisory objective that may be used and additional background information on supervisory concepts.

2-9. Monitoring and Developing Performance

a. As part of monitoring technician performance, supervisors must monitor performance throughout the appraisal cycle to:

- 1) Engage in dialogue with the technician concerning performance.
- 2) Conduct one or more documented interim reviews with each technician.
- 3) Maintain performance information.

- 4) Update critical elements and performance standards if they change.
 - 5) Anticipate and address performance deficiencies.
 - 6) Reinforce effective behavior.
- b. Properly monitoring performance enables supervisors to identify, address, and resolve performance deficiencies as they occur during the performance management cycle. A rating of record does not need to be completed in order to address a performance deficiency.
- c. Dialogue and Feedback.
- 1) Supervisors will provide on-going (i.e., regular and timely) feedback in the form of meaningful dialogue with technicians regarding job performance. The preferred method of supervisory/technician dialogue for performance-based issues is face-to-face discussion with written documentation in the supervisory work folder. Although supervisors have the primary responsibility for providing technicians feedback, technicians share the responsibility for communicating successes and difficulties relative to their assigned performance plan.
 - 2) A technician may request periodic feedback and dialogue regarding his or her own performance. To the extent practicable, the supervisor will accommodate such requests.
- d. Developing performance is integrated into the performance management process. Together with meaningful performance-related discussions that assist the technician in reinforcing strengths and correcting weaknesses, technician development opportunities should be discussed.
- e. Supervisors should discuss and encourage professional and technical development opportunities with technicians to further enhance individual contributions to the organization's mission and goals. Technician development opportunities may be documented on an Individual Development Plan, and may include classroom training, on-the-job training, mentoring, special assignments, details/reassignments, group performance meetings, process improvement teams, and self-development activities.

2-10 Interim Reviews

- a. At a minimum, one formal interim performance review shall be conducted between supervisor and technician IAW DoD 1400.25, Vol 431. The required interim performance review shall be prepared and documented between the start of the fifth month and the end of the sixth month of the performance management cycle (1 August - 30 September in the standard cycle). The interim review shall be documented in the My Performance. Additional interim reviews may be conducted as appropriate.
- b. A formal interim review shall acknowledge achievements and suggest areas for improvement, and provide meaningful dialogue and exchange of concerns. Developmental suggestions also may be provided to the technician, as appropriate. Potential formats for interim reviews include an analysis of Strengths, Weaknesses, Opportunities and Threats (SWOT) or by identifying actions the technician should Start, Stop or Continue.
- c. The technician will be provided the opportunity to complete a self-assessment as input to the rating official's interim review comments.
- d. The rating official will obtain approval of the interim review by the higher level reviewer prior to conducting the review with the technician. This requirement is to ensure consistency and fairness within and across organizations. The interim review is approved after higher-level review and completed once the supervisor has communicated the review results to the technician in writing.
- e. The technician shall be provided a copy of the interim review. Supervisors shall record the technician's receipt of the interim review and the manner in which the review was communicated (face-to-face, telephone, etc.). It is expected that the interim review will normally be communicated to the technician by the rating official in face-to-face discussion.
- f. The process for completing an interim review is as follows:
 - 1) The supervisor goes into the plan under the Interim Review Tab and creates an interim.
 - 2) The supervisor transfers the file to the technician for self-assessment comments.

3) The technician completes the self- assessment and transfers the file to the supervisor. Alternatively, if the technician declines to do a self- assessment, the supervisor may Retrieve the file from the technician.

4) The supervisor reviews the self-assessment (if any), and provides a narrative progress check for each objective.

5) The supervisor engages with the higher level reviewer for approval. Approval may be documented in the My Performance by transferring the file to the HLR (option A) or by supervisory certification (option B).

6) The supervisor communicates the result to the technician, and obtains acknowledgement from the technician.

2-11. Specially Situated Technicians

1. Technicians Performing Union Representational Responsibilities. When a technician is engaged in union representational responsibilities, the time spent performing union representation does not constitute work of the agency and does not count toward the minimum period of performance of 90 calendar days under an approved performance plan. If a technician performs agency work to meet the 90-calendar day requirement under an approved performance plan, that technician is eligible to receive a rating of record.

2. Technicians Absent for Military Service. Technicians who are absent for military service will be rated provided they have performed work under an approved performance plan for a minimum of 90 calendar days. If technicians performing military service do not meet the 90 calendar day requirement, supervisors will assign their most recent rating of record as the new rating of record for the appraisal cycle.

3. Technicians on Leave Without Pay or Extended Paid Leave. If a technician is absent during the appraisal cycle because he or she was on leave without pay or extended paid leave (including disabled veterans seeking medical treatment), the technician is eligible to receive a rating of record if he or she has performed work under an approved performance plan for a minimum of 90 calendar days. However, if a technician does not meet the 90-calendar day requirement, then he or she is not eligible to receive a rating of record.

4. Technicians on Long-Term Full-Time Training. Technicians attending a program of long-term full-time training greater than 90 calendar days may have a performance plan developed related to the training. The plan could include elements related to the achievement of specific training objectives. In this situation, supervisors may wish to contact the respective training activity for assistance and recommended input to the performance plan.

5. Technicians Who Transfer or Supervisors Who Leave During the Appraisal Cycle. The length of time a technician serves under an approved performance plan determines what is required when a technician or supervisor leaves the organization.

a. If a supervisor leaves the organization, a performance narrative statement is required when a technician has performed under an approved performance plan and there are more than 90 calendar days left in the appraisal cycle. This narrative statement will be considered by the incoming supervisor.

b. A rating of record is required when a technician has performed under an approved performance plan for 90 calendar days and the technician or supervisor leaves the organization with fewer than 90 calendar days remaining in the appraisal cycle. If circumstances preclude the departing supervisor from carrying out this responsibility, the higher-level management official may serve as the rating official.

2-12. Rating of Record Assessments

a. An integral part of the performance management process is the supervisory assessment of technician performance relative to the expectations documented in specific job objectives. This written assessment captures the technician's accomplishments during the appraisal period and produces a rating of record. Appraisals are due within 30 days of the end of the appraisal period or within 30 days of a technician making a permanent job change requiring a new plan (promotion, reassignment, or change to lower grade).

b. Technician Self-Assessment.

1) Technicians are encouraged to provide a self-assessment for each job objective during the appraisal period. Technician self-assessments should describe accomplishments and contributions relative to performance expectations, organizational mission, and individual and team goals as appropriate. The input will assist the rating official in evaluating by providing additional information that can be used to assess performance. While entirely voluntary, it is recommended that the technician complete the self-assessment narrative. The technician's perspective will better inform the rater of performance, achievements, and contribution and thereby may impact the rating of record.

2) To facilitate completion of this self-assessment, technicians are encouraged to maintain a personal record of their accomplishments, achievements and performance throughout the appraisal period.

c. Supervisory Annual Assessment of Technicians. The supervisor (or rating official, if different) must prepare a narrative assessment and numeric rating for each job objective. The annual assessment shall be documented in the My Performance . It is expected that the annual assessment will normally be communicated to the technician by the rating official face-to-face.

1) If the supervisor (or rating official, if different) has limited direct knowledge of the technician's performance, care should be taken to gather applicable facts (e.g., work products, closeout assessments, productivity metrics, customer feedback) to substantiate the rating of record.

2) If the supervisor-technician reporting relationship/assignment changes the supervisor shall provide either a performance narrative or rating of record.

d. The process for completing an annual assessment is as follows:

1) The supervisor goes into the plan under the Annual Appraisal Tab and ensures an assessment form is ready.

2) The supervisor transfers the file to the technician for self-assessment comments.

3) The technician completes the self-assessment and transfers the file to the supervisor.

Alternatively, if the technician declines to do a self-assessment, the supervisor may retrieve the file from the technician.

4) The supervisor reviews the self-assessment (if any), and provides a narrative and numeric rating for each objective. Once all objectives are rated, the supervisor can view the rating of record.

5) The supervisor engages with the higher level reviewer for approval. Approval may be documented in the My Performance by transferring the file to the HLR (option A) or by supervisory certification (option B). 6) The supervisor communicates the result to the technician, at which time the plan and assessment is archived and remains available for reference by the technician, rating official, and higher level reviewer. The supervisor then begins the process again with a new plan.

2-13. Rating Technician Performance Supervisors will assign an individual performance element rating of either 5, 3, or 1 to each critical element. Ratings are averaged to calculate the overall rating of record, which reflects the technician's job performance during the appraisal cycle based on the rating criteria outlined in Table X.

Rating Level	Rating Criteria
<p>Level 5 - Outstanding. The average score of all critical performance ratings 4.3 or greater, with no critical element being rated a "1" (Unacceptable), resulting overall rating of record that is a "5."</p>	<p>produces exceptional results or exceeds expectations well beyond specified element outcomes and sets targeted metrics high is and far and exceeds them. Handles roadblocks or issues exceptionally well and makes a long-term difference in an doing so. Is widely seen as an expert, valued role model, or mentor for this work. Exhibits the highest standards of professionalism</p>
<p>Level 3 - Fully Successful. The average score of all critical element performance ratings is less than 4.3, with no critical element being rated a "1" (Unacceptable). resulting in an overall rating record that is a "3"</p>	<p>Effectively produces specified outcomes, and sometimes exceeds them. Consistently achieves targeted metrics . Proactively informs supervisor of potential issues or roadblocks and offers Suggestions to address or prevent them. Achieve goals with appropriate level of supervision.</p>
<p>Level 1 - Unacceptable. Any critical element rated as "1" results in an overall rating of record that is a "1"</p>	<p>Does not meet expectations for quality of work; fails to meet many of the required results for the goal. Is unreliable; makes poor decisions; Misses targeted metrics (e.g., commitments, deadlines, quality). Lacks or fails to use skills required for the job and requires much more supervision than expected for a technician at this level.</p>
<p>NOT RATED</p>	<p>The technician does not have an opportunity to perform work associated with a performance element for 90 calendar days during the appraisal cycle</p>

Table X

1. Unacceptable Ratings. HLRs must review and approve a rating of record of "Unacceptable" (Level 1).

a. If a technician does not have an opportunity to perform work associated with a performance element for 90 calendar days during the appraisal cycle, no performance

element rating will be assigned for that performance element. An unrated performance element cannot be used as a factor in deriving a rating of record.

b. The rating of record or individual performance element rating assigned to a critical element for a disabled veteran will not be lowered because the veteran has been absent from work to seek medical treatment, as provided in Section 430.208(0 of reference c.

2. Addressing Performance Issues Early. When a supervisor detects a decline in performance, early intervention is imperative. The supervisor should take the following actions, as appropriate:

a. Clearly communicate to the technician that current performance fails to meet the performance standards described in the performance plan; provide clear guidance as to what is needed in order for the technician to improve; and provide specific examples of what and how work has not met expectations, as well as examples of work that would meet expectations.

b. Offer appropriate assistance.

c. Provide ideas of where the technician may go to obtain additional assistance or training, if applicable.

d. Provide closer supervision and feedback. This might include more frequent reporting, special assignments, or on-the-job training.

e. If performance issues persist, use a more formal approach to help technicians improve and seek assistance from the Human Resources Office.

3. **Appraisals for Technicians who are Absent - Uniformed Service Status for Less than 5 years.** See Appendix A to Enclosure B.

4. **Appraisals for Technicians who are Absent - Uniformed Service Status for more than 5 years.** See Appendix B to Enclosure B.

5. **Appraisals for Technicians Absent at the End of the Appraisal Period Due to a Work Related Injury.** Eligible technicians who are still on agency rolls at the end of the appraisal period but who are absent due to a work-related injury will be rated based on the work performed during the appraisal period, provided they have satisfied the minimum 90 day performance period. The Performance Appraisal Program procedures described in this instruction will be observed to the extent practicable. 6. All ratings must be supported with written justification for the level of performance. It is appropriate to

include supervisor recommendations for possible performance based incentive awards, including Quality Step Increase or Sustained Superior Performance as appropriate.

7. A rating of Level 1 Unacceptable on any job objective will automatically result in an overall summary rating of Level 1 Unacceptable. Technicians who receive a Level 1 Unacceptable will be given an opportunity to improve via a PIP that specifies the deficiencies, outlines the methods for improvement, and establishes a reasonable time (e.g., 90 to 120 days) for improvement. Failure to improve under the PIP will lead to reassignment, reduction in grade or removal. A Level 1 rating requires the rater to provide justification and documentation to the approving official and a higher level management official.

APPENDIX A TO ENCLOSURE B

SAMPLE APPRAISALS FOR TECHNICIANS WHO ARE ABSENT - UNIFORMED SERVICE
 STATUS FOR LESS THAN 5 YEARS

Example A: The appraisal period started 01 Apr and the technician **was** on an approved performance plan for more than 90 calendar days, and **is not** expected to return before the end of the current rating period 31 March.

- Approved Plan: 01 Apr 17 - 15 Jul 17 Met the minimum period – supervisor completes appraisal
- Deployed: 16 Jul 17 - 15 Apr 18
- Returned to Duty: 16 Apr 18 Supervisor initiates new performance plan
- New Appraisal Period: 16 Apr 18 - 31 Mar 19

Example B: The technician **was** on an approved performance plan for more than 90 calendar days, and **is** expected to return before the end of the current rating period 31 Mar.

- Approved Plan: 01 Apr 17 - 06 Jul 17 Met the minimum period
- Deployed: 07 Jul 17 - 01 Nov 17 Treat as if never left
- Returned to Duty: 02 Nov 17 - 31 Mar 18 Supervisor completes appraisal

Example C: The technician **was not** on an approved performance plan for at least 90 calendar days prior to deployment, however the technician returns to duty; and there will be at least 90 calendar days between the return date and the end of the rating period 31 March.

- Approved Plan: 01 Apr 17 - 15 Jun 17 Less than minimum period
- Deployed: 16 Jun 17 - 22 Dec 17 Treat as if never left
- Returned to Duty: 23 Dec 17
- Remaining Time in Appraisal Period: 23 Dec 17 - 31 Mar 18 Minimum period: Supervisor completes appraisal

Example D: The technician **was not** on an approved performance plan for at least 90 calendar days prior to deployment, and there **will not** be at least 90

calendar days between the return date and the end of the rating period. The supervisors will assign their most recent rating of record as the new rating of record for the appraisal cycle.

- | | | |
|-------------------------|-----------------------|---|
| • Approved Plan: | 1 Apr 17 - 15 Jul 17 | Less than minimum 90 period |
| • Deployed: | 16 Jul 17 - 15 Feb 18 | Supervisors assigns most recent rating of record for 1 Apr 17 - 15 Feb 18 |
| • Returned to Duty: | 16 Feb 18 | |
| • New Appraisal Period: | 16 Feb 18 - 31 Mar 19 | Supervisor initiates new performance plan |

Figure 1. Appraisals for Technicians Absent - Uniformed Service Status for Less Than 5 Years

2-14. Performance Deficiencies

a. Managers and supervisors are required to provide proactive assistance to non-probationary technicians who are performing below Level 3, Fully Acceptable. Assistance may be provided at any time during the performance year when deemed appropriate by supervision or requested by the technician. If left uncorrected, Level 1 Unacceptable performance deficiencies may result in reassignment, change to lower grade, or the removal of a technician, but only after the opportunity to improve. All Level 1 Unacceptable ratings will be reviewed by a higher level management official.

b. A technician with a performance deficiency will be reminded periodically of the objectives for his or her position. The technician will be assisted in improving areas of unacceptable performance by through counseling, increased supervisory assistance, additional training, etc.

c. Any time a technician is performing below Level 3 Fully Acceptable in any or all critical elements, including the proposed assignment of a Level 1 Unacceptable rating of record, timely and appropriate management action is required.

d. When addressing a performance deficiency, the supervisor shall identify and communicate to the technician the specific critical element and performance standard(s) that require improvement.

e. Consideration of Circumstances. When determining what corrective action should be taken to address a performance deficiency, supervisors will take into account the circumstances, including the nature and gravity of the deficiency, its consequences, and any knowledge deficiencies of the technician, as applicable.

f. Supervisors will address deficiencies resulting in Level 1 Unacceptable performance in a Performance Improvement Plan (PIP).

2-15. Performance Improvement Plan Requirements

a. When a supervisor identifies a technician's performance as Level 1 Unacceptable, the supervisor must initiate a PIP (after consultation with the J1, labor organization for bargaining unit technicians, and, if appropriate, legal counsel). The technician's supervisor may initiate a PIP if the technician has been afforded a reasonable opportunity to perform the critical elements in his or her performance plan, the supervisor has made reasonable informal efforts to obtain acceptable performance, and despite these reasonable informal efforts the technician's performance has remained at the Level 1 rating in one or more critical elements. Though informal, these efforts should be supported by documentation prior to initiating a PIP. The supervisor is not required to wait until the end of the appraisal period to initiate these actions. A reassignment action may be accomplished anytime during the PIP.

b. A Performance Improvement Plan (PIP) must be in writing and provided to the technician. The PIP will establish a time frame for improvement, normally for 90-120 days. A sample PIP can be found at Appendix E.

1) A PIP must document instances of unacceptable performance and state specifically what must be accomplished to perform at the Level 3 rating.

2) When a PIP is issued, consideration may also be given to referring the technician to the Employee Assistance Program (EAP) Coordinator. Participation in EAP is voluntary.

3) If the technician's performance in any critical elements continues to be Level 1 Unacceptable, despite efforts by the supervisor or manager to improve performance, the technician will be advised that he or she will be reassigned, reduced in grade, or removed from employment.

4) Before initiating an action to reduce in grade or remove a technician based on unacceptable performance, consideration may be given to reassignment to other vacant positions for which the technician is qualified. No action based on unacceptable performance may be taken until critical elements have been identified in a performance plan, the technician has been given a copy of the performance plan, and the technician has been given an opportunity to improve performance. Personnel actions based on unacceptable performance must comply with the Technician Act of 1968 (32 USC 709, Public Law 90-486), Technician Personnel Regulation 715, Voluntary and Non-Disciplinary Actions, and this regulation.

c. **30 Day Written Notice Requirement.** Should a determination be made to reduce in grade or remove the technician from employment following the formal PIP, a technician is entitled to a minimum 30 day advance written notice of the action to be taken (reduction in grade or removal). The notice will document detailed instances of unacceptable performance on which the action is based (see sample memorandum in Appendix F). The approving official must concur with this advance written notice. This requirement does not apply when the action is being taken by The Adjutant General. This is not a proposed notice, but is considered a final notice of the action to be taken since prior to the final step the technician would have been given adequate assistance and time to improve performance. The 30 day requirement does not apply to trial/probationary technicians.

Chapter 3 Review and Appeal Process

3-1. Final Appellate Authority

The Adjutant General is the final appellate authority on the question of whether a technician should be demoted or removed rather than reassigned as a result of a performance-based action. The Adjutant General is the final appellate authority on the accuracy of performance appraisals unless the technician is a member of a collective bargaining unit with a negotiated grievance procedure, the procedure does not expressly exclude from its coverage grievances challenging appraisal accuracy, and the technician elects to use the grievance procedure. In these circumstances, the grievance–arbitration process is the final appellate authority. The Adjutant General is the final appellant authority on other aspects of compliance with this regulation if the technician is not a member of a collective bargaining unit with a negotiated grievance procedure or the negotiated grievance procedure expressly excludes from its coverage grievances concerning compliance with this regulation; otherwise, the grievance-arbitration process covers exclusively, and is the final appellate authority on these issues.

3-2. Filing an Appeal

An appeal is submitted through the Human Resource Officer (HRO). The HRO will notify the technician that such appeal must contain the following information:

- a. Name of the technician
- b. Organization.
- c. The appraisal being appealed.
- d. Why the appraisal should be changed.
- e. Performance level requested.
- f. Date notice received.

When any of the necessary information is not available, the technician should submit what is available, and state why the other information is not available. The HRO will ensure the board is established.

3-3. Appeal of Interim Reviews and Ratings at or Above the Fully Successful Level (Supervisory)

- a. Appeals of all interim reviews and performance ratings for Fully Successful performance will be accomplished through a supervisory chain of command review process.
- b. An appeal of an interim review or performance appraisal rating of Fully Successful performance must be filed with the HRO no later than 30 calendar days after the technician's receipt of the appraisal.
- c. A higher level official in the supervisory chain (not previously involved in this appraisal process) will have 30 days from notification by HRO of an appeal to perform an impartial review and provide a recommendation to The Adjutant General.

3-4. Appeal of Ratings below Fully Successful (State Review and Appeals Board)

- a. Appeals of performance ratings of below Fully Acceptable will be accomplished by a State Review and Appeals Board consisting of three members.

b. An appeal based on Unacceptable performance may be filed within 30 calendar days after the technician receives of the appraisal, or within 15 days of receiving a notice of personnel action to involuntarily reassign, demote, or remove based upon performance. Only one appeal will be allowed.

3-5. State Review and Appeals Board Procedures

a. Members serving on this board cannot be in the chain of command of the technician who is filing an appeal and should not be in a lower graded position than the technician appealing. Peers of the appellant can be chosen to serve on the board. All members of the board must be present at all times during the hearing and must participate in proposing a recommendation. Board members must serve as impartial fact finders and review each case objectively. They must give consideration to the merits of each case.

b. The technician is entitled to arrange for his or her own representation during the board process. The Government will not provide representation. Supervisors also have the right to present their case to the board.

c. The board will not review appeals that have been grieved through the negotiated grievance procedure.

d. The board is charged to review the record and, by majority vote, recommend The Adjutant General either change or sustain the appraisal rating. The board is not charged to review the personnel action to be taken as a result of the rating.

e. At a minimum, the board will review the full record of performance as documented on the NGB Form 430 archived in the My Performance, including performance plan, interim review, self-assessments, and annual assessment.

f. During the proceedings, the board may admit oral and/or written evidence from the technician or the technician's immediate supervisor. The technician and the technician's representative, (if desired by the technician), and the representative of The Adjutant General will submit any additional information they deem pertinent. Such information may be presented orally, by presentation of witnesses, or in writing.

g. In the submission of evidence, the technician, the technician's representative, and the representative of The Adjutant General must be given the opportunity to hear and reply to the information submitted by the other parties, and given an opportunity to question any witnesses. If any of these individuals are absent during the oral presentation, the absentee(s) must be furnished, in writing, any evidence admitted in their absence. The board may not use any written information to render a recommendation until the technician, the technician's representative (if any), and the representative of The Adjutant General have had an opportunity to examine and reply to the evidence.

h. Within 15 calendar days of completion of the board's proceedings, the board will complete a review of the evidence and submit their recommendations directly to The Adjutant General with an information copy to the J1. The Adjutant General will make the final decision.

Appendix A: References

32 USC 709

The National Guard Technician Act of 1968

TPR 300 (335)

Merit Placement for National Guard Technicians

TPR 300 (351)

Reorganization, Realignment and Reduction in Force

CNGBI 1400.25, Vol 431

Chief National Guard Bureau Instruction

TPR 430

National Guard Technician Performance Appraisal Program

TPR 752

Technicians, Adverse and Disciplinary Actions

NGB Form 430

Performance Appraisal Form. This form is electronically generated in the Defense Civilian Personnel Data System (DCPDS), Performance Appraisal Application Tool

DA Form 2028

Recommended Changes to Publications and Blank Forms

Appendix B: Terms

Accountability

Accountability refers to the pyramid of responsibility beginning with the individual and building to top management. It includes setting appropriate and reachable organizational goals and focusing on the work that must be done to reach those goals; communicating the goals and tasks to others; clarifying expectations and defining roles and responsibilities; establishing meaningful measurements of success; and fostering effective feedback loops. Accountability requires individuals to dedicate themselves to work toward the organization's goal, taking responsibility for their behavior, their work, and their outcome. It is an essential component in a successful career and a necessary element in a productive and efficient work environment.

Appraisal

The process by which technicians are informed of how their performance compares against established performance standards, resulting in final narrative assessment and numeric rating of record at the end of the established appraisal period.

Appraisal Period

See Performance Management Period

Appraisal Period End Date

The last day of the appraisal period.

Approving Official

The individual in the technician's chain of command who is the rater's immediate supervisor or a higher level official above the rater designated as approving official.

Closeout Assessment

A narrative description of an eligible technician's performance under an approved performance plan. The closeout assessment is completed by the supervisor or rating official and conveys information regarding the technician's progress towards the completion of a critical element. A closeout assessment is not a rating of record, but should be used to inform the rating official of technician accomplishments and/or needed improvement.

Contribution

A work product, service, output, or result provided or produced by a technician or group of technicians that supports the departmental or organizational mission, goals, or objectives.

Critical Element

A work assignment or responsibility of such importance that an unacceptable performance on the element would result in a determination that a technician's overall performance is unacceptable. Used interchangeably with the term Job Objective.

Eligible Technician

A technician who, on the last day of the appraisal period, has satisfied the minimum period of performance under an approved performance plan.

Interim Review

An assessment describing a technician's year-to-date progress on critical elements and performance standards. At least one interim performance review shall be prepared and documented no earlier than the end of the fourth month and no later than the end of the sixth month of the annual appraisal period.

NGB Form 430, Performance Appraisal

A single form that accommodates the documentation requirements for the lifecycle of performance management (setting the plan to final appraisal).

Non-Critical Elements

Not used in the PAA as a Job Objective. A dimension or aspect of individual, team, or organizational performance, exclusive of a critical element, that may be a contributing factor used in assigning a summary level. Such elements may include, but are not limited to, objectives, goals, program plans, work plans, and other means of expressing expected performance. Non-critical elements are not used in the National Guard Technician Performance Appraisal Program.

Objective/Job Objective

The term used in the PAA to describe a critical element and performance standard. Performance plans in the PAA are built on a series of three to ten job objectives which express performance expectations for the coming performance year.

Performance

The accomplishment of work assignments or responsibilities.

Performance Appraisal Application (PAA) Tool

The web-based tool that supports the performance planning and appraisal process, now accessible via *My Biz* or *My Workplace* in the Defense Civilian Personnel Data System (DCPDS).

Performance Improvement Period

A formal observation period, normally 30 to 90 calendar days, that gives the technician the opportunity to improve their performance before a removal or demotion action can be taken based on unacceptable performance.

Performance Management Period

The established period of time during which performance will be monitored and assessed. The appraisal period must be established on an annual basis for a 52 week period. The appraisal period for the Ohio National Guard is from 1 April to 31 March of the following year. The Chief, National Guard Bureau, Adjutant General (or designee), may designate other periods as dictated by situation or circumstance.

Performance Management Program

The policies and requirements for setting and communicating technician performance expectations, monitoring performance and providing feedback, developing performance and addressing poor performance, and rating and rewarding performance.

Performance Plan

All of the written, or otherwise recorded, performance elements that set forth expected performance. A performance plan must include all critical elements and their performance standards. It also may include additional performance elements and their performance standards, if any.

Performance Standard

The management-approved expression of the performance threshold(s), requirement(s), or expectation(s) that must be met to be appraised at a particular level of performance. A performance standard may include, but is not limited to, quality, quantity, timeliness, and manner of performance.

Rating Official

A non-bargaining unit representative of management, usually the immediate supervisor, who is approved by the Human Resource Office Classifier to evaluate and assess technician performance.

Rating of Record

The performance rating prepared at the end of an appraisal period for performance over the entire period and the assignment of a summary level as specified in section 430.208(d) of reference (c). This constitutes the official rating of record referenced in Part 430 of reference (c).

Rating of Record Effective Date

The date the higher level reviewer signs off on the rating.

Self-Assessment

A technician's narrative description of his/her year-to-date accomplishments related to his/her critical elements and performance standards. Self-assessments are optional and serve as a means by which a technician is able to actively participate in the performance management program. Self-assessments are documented in the Performance Appraisal Application tool and are reviewed by the Higher Level Reviewer.

Unacceptable Performance

Failure to meet established performance standards in one or more critical elements.

Appendix C: Soft Skills and Additional Process Guidance

1. Overview. The appraisal process is more than a once-a-year meeting between supervisor and technician during which performance over the past year is evaluated and recorded on an appraisal form. The National Guard Technician Performance Appraisal System requires that the supervisor and subordinate jointly, at the beginning of the performance management cycle, review the requirements of the technician's job, identify job elements, and establish job-related expectations of performance (performance elements). During the appraisal period, the technician must be kept informed as to how he or she is doing in meeting or exceeding the established expectations through an interim review. The final step, the overall performance appraisal (rating), should be of no surprise to the technician. Following are the major components of the appraisal process:

a. Reviewing the Job. The technician's position description should be the basic source of information for identifying performance elements. From this and the supervisor's knowledge of workload priorities and mission requirements, the performance elements can be identified and established.

b. Setting Performance Elements. Specific expected manners of performance are identified for each performance element and communicated to the technician. It is expected that technicians will have the opportunity to participate in the development of standards, and that standards will evolve over time.

c. Reviewing Progress. In addition to the on-the-spot feedback, supervisors are required to complete at least one interim review for each technician partway through the appraisal period. The interim review is done to ensure each technician understands exactly what is expected of him or her during the appraisal period. Each technician will have the opportunity to participate in the review process by means of self-assessment. Critical elements may be adjusted due to a review.

d. Technician Self-Assessment. The technician has the option of contributing to the process by completing self-assessments. The self-assessment is a narrative description provided by the technician for interim reviews, closeouts, and annual assessments.

e. Appraising Technician Performance. At the end of the appraisal period, performance is discussed with the technician, and the final evaluation (rating) is arrived at by the supervisor.

f. Recommending Personnel Actions. The annual performance evaluation may be the basis for both positive and negative personnel actions.

2. Creating Performance Standards by identifying critical elements and matching them with performance standards.

a. In the My Performance you will build performance plans by establishing performance elements. A Performance Element is a single narrative statement that identifies a critical element (what must be done) and matches it with a performance standard (how success will be evaluated). Each performance element must be described within a maximum of 1000 characters.

b. Critical elements are broad categories of duties and responsibilities that will be rated. Critical elements must be written carefully, because an Unacceptable rating in any critical element will result in an overall Unacceptable rating for the entire appraisal period. One method for identifying critical elements is to list all individual duties you can for the position in "verb/object" format (e.g., types letters; proofs correspondence; maintains files, etc.). Set the list aside and write down three to five (recommended) broad categories of work that should be rated. Then refer to your list of duties and examine how your elements cover the most important aspects of the job. If you can, simplify your set of elements by deleting and/or combining to come up with fewer rather than more elements. Not all duties must be rated. Some non-critical elements may be left out of the job objectives. Ultimately, the critical element portion of the job objective should have a relatively simple title, accompanied by a task/duty statement, which briefly names or describes the duties identified in the previous steps.

c. Each critical element must be accompanied by a performance standard. Performance standards are a narrative description of how technicians must perform to earn a given rating. Standards for bargaining unit technicians are to be developed using the "manner of performance" method. A manner of performance is a standard that focuses on processes required to prevent problems and facilitate desired

results. Write standards as described below.

d. Writing Manner of Performance Standards.

1) For the Fully Acceptable Level, consider each element individually when developing your standards. Brainstorm a list of things that can go right or wrong in the performance of the element. (These should be within the technician's control). Edit or combine list to a recommended four to seven items. Write methods of performing the work designed to achieve the desired performance and prevent anticipated problems. Avoid ambiguous terms. Avoid overly quantitative statements unless the manner of tracking and evaluating is carefully thought out. Develop standards using the S.M.A.R.T. (Specific, Measurable, Achievable, Relevant, and Timed) format.

2) For the Outstanding Level, focus again on each individual element. List things you consider would make a technicians work stand out. These would be things you would like to see performed, but do not currently expect or require. Again, edit the list to the recommended 4 to 7 items. Write methods or manners of performance that will ensure you and the technician recognize how to achieve "Outstanding." Be specific and avoid generalizations whenever possible.

3) Unacceptable. In all cases, the following language may be used: "*Following formal counseling, fails to follow any _____ method(s) shown in the 'Fully Acceptable' standard on _____ occasions.*"

e. Finalizing the Performance Element. Finally, use the critical element to fill in the Performance Element Title block in the My Performance. Cut-and-paste or retype the 3-level performance standard you have developed into the large block for the Performance Elements in the My Performance. You may need to do some additional editing to fit the objective into the allowable 1000 character space.

3. Developing Performance.

a. Performance Counseling. Supervisors should frequently praise and encourage technicians who are meeting objectives and assist technician who are not. Supervisors should never wait until the formal performance appraisal (end of rating period) to tell a technician that performance was not acceptable; the technician should be told of a problem as soon as the supervisor is aware of one.

b. Interim Review. The interim review is a required action, documented online in My Performance. The goal of the interim review is a mutual understanding of actual performance by the technician in comparison with the supervisor's expectations as stated in the established manner of performance standards. The review should end in an understanding of the current state and identify actions for future improvement. These include: 1) specific efforts to improve performance in areas of identified weakness; 2) identification of training and developmental activities, both short-term and long-term, to remedy deficiencies and/or expand skills and knowledge for career growth; and 3) review of job elements and manners of performance standards to insure currency. Interim reviews should not involve advising the technician of his/her rating for each element or the overall rating.

4. Assessing Performance

a. Gathering Information. The first step for the supervisor in accomplishing the official annual performance appraisal rating is to request the technician provide a self-assessment. Then the supervisor should review current job elements, performance standards and the achievements of the technician during the appraisal period.

b. Assessing. Based on the review and self-assessment (if provided by the technician), the supervisor may develop the narrative evaluation and numeric rating of each objective. When each objective has been rated, the PAA will calculate an overall rating of record. The supervisor or rating official will review the appraisal and rating with his/her supervisor (approving official) before discussing it with the technician. This will give the supervisor an opportunity to obtain the view of his/her boss, who may have a different and broader perspective, and will provide a chance to settle any differences of opinion that may exist. Lastly, the supervisor should discuss the formal rating with the technician in person if possible. Recognition for good work during the year should be given. The supervisor and technician should discuss any adjustment to the performance plan for the coming year.

Appendix D: Supervisory Critical Element

A. Sample language

This critical element may be reproduced in full within the My Performance as the required supervisory critical element or it may be modified as long as it fulfills the requirement described in paragraph 2-9. Each critical element must be stated in no more than 1000 characters.

5 Outstanding

For two or more items: results were far superior in quality, quantity, and/or impact as compared to the Level 3 expectation; overcame significant obstacles; demonstrated the highest standards of personal and professional conduct; represented the organization effectively.

3 Fully Successful

Administer the performance management process in a timely and effective manner; ensure effective administration and compliance with laws, regulations and policies concerning merit system principles, prohibited personnel practices, EO/EEO, and safety.

1 Unacceptable

Following counseling, fails in any 2 or more items in the Level 3 standard

B. Clarification

The supervisory critical element is meant to provide an encompassing block for supervisors to be rated on and receive credit for their supervisory duties. There is a great diversity of work locations and types of work performed in the Ohio Army and Air National Guard. It is understood that, while the fundamentals of supervision are relatively uniform, different situations will require that successful supervisory performance will be varied throughout the state. The standard provided here is drafted to provide the necessary flexibility.

The supervisory critical element incorporates a great deal of terminology supervisors may not be directly familiar with. On balance, they comprise the boundaries within which Federal supervisors must operate. Here is some additional information on the terminology used above:

(1) Performance management process includes clearly communicating the performance plan and holding technicians responsible for accomplishing their critical elements and performance standards; making meaningful distinctions among technicians based on performance and the technician's contributions (aligned with the strategic goals and objectives); fostering and rewarding excellent performance and addressing poor performance; assuring technicians are assigned a rating of record in a timely manner; and fully cooperating with the performance appeal process.

(2) Merit system principles are codified reflections of the public's expectations of a system that is efficient, effective, fair, open to all, free from political interference, and staffed by honest, competent, and dedicated technicians. Supervisors are obligated to uphold these principles in their management of the workforce. They are as follows:

(a) Recruit qualified individuals from all segments of society and select and advance on the basis of merit after fair and open competition, which assures that all receive equal opportunity. (b) Treat technicians and applicants for employment fairly and equitably, without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights.

(c) Provide equal pay for work of equal value and appropriate incentives and recognition for excellence in performance.

- (d) Maintain high standards of integrity, conduct, and concern for the public interest.
 - (e) Manage the Federal work force efficiently and effectively.
 - (f) Inadequate performance should be corrected and technicians should be separated who cannot or will not improve their performance to meet required standards.
 - (g) Educate and train technicians when it will result in better organizational and individual performance.
 - (h) Protect technicians against arbitrary action, personal favoritism, or coercion for partisan political purposes and prohibit technicians from using official authority or influence for the purpose of interfering with or affecting the result of an election or a nomination for election.
 - (i) Protect technicians against reprisal for the lawful disclosure of information which is believed to evidence a violation of any law, rule, regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety.
- (3) Prohibited personnel practices are actions a Federal technician with personnel authority may not take. Supervisors have personnel authority because they are empowered to take, direct others to take, recommend or approve any personnel action (including appointments, promotions, discipline, details, transfers, reassignments, or reinstatements; any decision concerning pay, benefits or training; or any significant change in duties, responsibilities or working conditions). Prohibited personnel practices are as follows:
- (a) DISCRIMINATE on the basis of race, color, religion, sex, national origin, age, handicapping condition, marital status, or political affiliation.
 - (b) SOLICIT or CONSIDER any personnel recommendation or statement not based on personal knowledge or records of performance, ability, aptitude, general qualifications, character, loyalty, or suitability.
 - (c) COERCE an technician's political activity.
 - (d) DECEIVE or OBSTRUCT any person with respect to such person's right to compete for employment.
 - (e) INFLUENCE a person to withdraw from competition for the purpose of improving or injuring the prospects of another person for employment.
 - (f) GRANT any preference or advantage not authorized by law, regulation, or rule to any technician or applicant for the purpose of improving or injuring the prospects of another person for employment.
 - (g) EMPLOY or ADVOCATE a relative.
 - (h) RETALIATE against a Whistleblower, whether an technician or an applicant.
 - (i) RETALIATE against technicians or applicants who exercise their appeal rights, testify, or cooperate with an Inspector General or the Special Counsel, or refuse to break the law.
 - (j) DISCRIMINATE based on actions not adversely affecting performance.
 - (k) VIOLATE any law, rule, or regulation implementing or directly concerning the merit principles.

(4) The EO/EEO includes ensuring continuing application of and compliance with EEO laws, regulations and policy and ensuring the effective administration of EEO. This includes ensuring necessary training is provided, that a discrimination-free climate is actively pursued, and that if discrimination complaints occur they are addressed in a timely manner. As the regulations that enforce these provisions are diverse, please contact the State Equal Employment Manager for more information.

(5) Safety includes enforcing applicable safety regulations, fostering a safe workplace, and proactive management of individual Worker's Compensation claims when on-the-job injuries occur.

Appendix E: Sample Performance Improvement Plan Memorandum

MEMORANDUM FOR TECHNICIAN

SUBJECT: *Notice of Opportunity to Improve Performance*

1. This memorandum is official notice that your current performance in your position of Personnel Officer, GS-0201-11, is unacceptable. I discussed with you your current critical element on (*Date*), and you signed your performance plan on (*Date*). You were assigned a Level 1 rating of unacceptable which was closed on (*Date*). The assessment is attached for your review.

2. Specifically, your performance is unacceptable in that you have not met the performance standards for Job Objective (*Number and Title of Job Objective*). The performance deficiencies and the required improvements are listed below:

Job Objective (Number and Title): State in full the Job Objective, including Critical Element and Standard.

Performance Deficiencies: Describe in full the performance deficiencies, with as much specificity as needed to clearly identify the problem and allow the technician to fully understand what is unacceptable.

Improvement Required: Describe the improvement required to attain the Level 3 Fully Successful rating.

(Repeat for as many Job Objectives as needed to achieve the desired performance improvement.)

3. I have outlined the job objectives of your performance plan for which your performance is now considered unacceptable. I will allow you (30-120) calendar days from the date of this memorandum to improve your performance to a marginally acceptable level (Level 2 or higher). I will periodically discuss with you your progress in attaining acceptable performance during this improvement period. I will be available whenever you need assistance and will furnish any appropriate guidance or training you need in order for you to meet your performance standards.

4. At the end of the performance improvement period, I will again evaluate your performance. This evaluation will include all aspects of your performance as outlined in your performance plan. Your performance must be at least a Level 2 for all job objectives in the performance plan.

5. My intention is to provide you the opportunity to improve your performance. If you believe your current unacceptable performance is the result of a condition of which I am unaware, please discuss this matter with me immediately and provide any necessary documentation and requests for accommodation for my consideration. If there are other personal problems which you believe are affecting your performance, I strongly recommend you consult with the HRO, Technician Assistance Program (EAP) Coordinator. Participation in the EAP program is voluntary.

6. If at the end of the performance improvement period your performance is considered fully acceptable or Level 3 rating, no further action will be required. A Level 2 rating will end this PIP but a new PIP may be generated to bring your performance to the Level 3 standard. If, however, your performance continues to be at the Level 1 rating, I will take appropriate administrative action. Such action could include reassignment, reduction in grade, or removal from the federal service based on unacceptable performance. Be advised, such action may be affected for up to one year following the beginning of the performance improvement period should your performance again fall below the Level 2 rating.

Supervisor's Signature Block

Encls

I acknowledge receipt of this Performance Improvement Plan:

Name/Signature

Date

Appendix F: Sample Notice of Written Decision Based on Unacceptable Performance

MEMORANDUM FOR TECHNICIAN

SUBJECT: Decision to Remove/Change to Lower Grade (Unacceptable Performance) *(State the specific action being taken, i.e., removal, or change to lower grade. Include series and grade of position incumbent occupies and show full unit name and mailing address to which the technician is assigned.)*

1. This memorandum will serve as your formal notice of *(removal/change to lower grade)* not earlier than thirty (30) calendar days from the date of your receipt for this notice due to unacceptable performance. The reasons for this action are:

a. On *(date)*, you and I established written job objectives, including critical elements and performance standards, for your position. At the time, you acknowledged our discussion of these job objectives.

b. On *(date)*, I informed you orally and in writing that your performance regarding job objective *(number ____)*, *(titled ____)* was at the Level 1 rating because you had failed to *(list specific instances of unacceptable performance on which this action is based)*.

c. On *(date)*, I provided you with specific written instructions on how to improve your performance on this job objective. You were provided a performance improvement period from *(dates)*. Despite counseling and on-the-job training, your performance of this job objective continues to be at the Level 1 rating. Therefore, I have initiated this involuntary action.

2. Copies of the performance assessment materials relied upon to support this proposal are attached. You may reply to this notification, either orally or in writing, or you may appeal the unacceptable performance appraisal to the State Review and Appeals Board. You may submit affidavits in support of your response. Your response will be considered an appeal unless you specify otherwise. To be considered, your response must arrive within fifteen (15) calendar days of receipt of this notice. Consideration will be given to extend this period if you submit a request stating your reasons for requiring additional time. You will be given a final determination as soon as practicable after the Board has made its recommendations to The Adjutant General.

3. You may contact *(POC)* in the Human Resource Office for procedural guidance at DSN xxx-xxx or (xxx) xxx-xxx.

Supervisor's Signature
H. T. Block

(Copy Furnished to Human Resource Office)

(Signature) (Date)

Waive/Do not waive 15 day response