

Ohio Technician Personnel Regulation 430

Performance Management

**Ohio National Guard Technician
Performance Management
Program**

**Ohio Army and Air National Guard
Human Resource Office
Columbus, OH 43235-2789
2 August 2012**

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SUMMARY of CHANGE

TPR 430

Performance Management Ohio National Guard Technician Performance Appraisal Program
effective 2 August 2012

- Changes the Performance Management Cycle to 1 April-31 March
- Clarifies procedures for performance management in case of temporary details, reassignments and promotions greater than 120 days.
- Removed duplicative language in the performance planning process and organizes content in process order, with handling performance deficiencies and PIPs moved to the end of the section
- Provides additional guidance for conducting interim reviews.
- Clarifies appeal processes.
- Clarifies Appendix C with more information on PAA functionality.
- Reduces Appendix D verbiage in the Supervisory Critical Element descriptor to save character count.

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Performance Management

Ohio National Guard Technician Performance Management Program

By order of The Adjutant General for Ohio:

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Major General
The Adjutant General

Official:

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Director for Human Resources

History. This publication supplements NGB TPR 430 dated 5 November 2009, and supersedes all previous versions.

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

Applicability. This regulation applies to all dual-status and non-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) and does not contain management control provisions.

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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 NGB TPR 430 dated 5 November 2009. 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. NGB J-1 Manpower and Personnel Directorate 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.

c. The Chief, 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.

d. The Adjutant General (TAG):

1) Holds managers and supervisors accountable for proper operation and administration of this performance management program.

2) Communicates with supervisors and technicians (e.g., through formal training) about relevant parts of the 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. 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 a performance management program that provides a meaningful, efficient method for the evaluation of individual, team and organizational performance in accordance with law, regulation and policy.

3) Administers the performance management program. The HRO also 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 performance management program.
- 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.
- 2) Ensuring that technicians are trained in the performance management 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 technician 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 performance and contributions.
- 11) Completing closeout, annual, and special purpose assessments 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.

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.

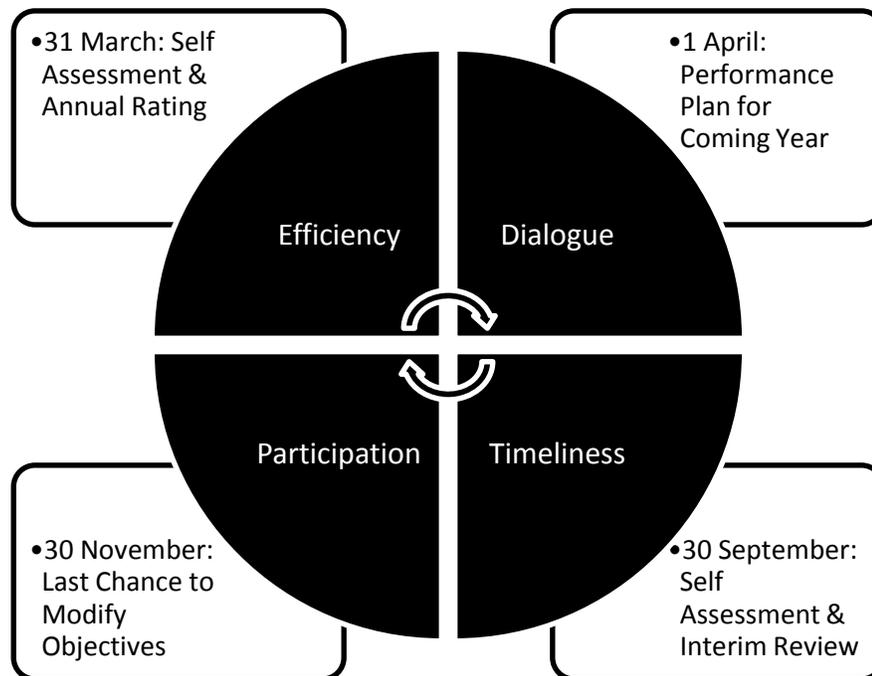
- d. Identify accountability for the accomplishment of organizational, team and individual goals and objectives.
- e. Provide for planning, monitoring, developing and evaluating performance.
- f. Use appropriate measures of performance to recognize and reward technicians, and use the rating of record 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 120 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 120 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 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 placed on a performance plan in the PAA 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 120 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. 120 days or more (numeric rating possible):

When a technician is temporarily assigned to work for a period covering 120 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 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 120 calendar days under the performance plan. Justifications for postponement include:

a. The supervisor or the technician is newly-assigned (less than 120 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 120 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 120 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 120 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 Expectations may include:

- 1) Goals or objectives that set general or specific performance targets at the individual, team, and/or organizational level.
- 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 Critical Elements (a.k.a. Job Objectives).**

1) Each technician shall have his or her work assignments or responsibilities described in a performance plan as a job objective. Job objectives are comprised of a critical element and performance standard. Each supervisor is encouraged to involve the technician in developing job objectives 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 job objectives. It is recommended as a best practice to limit the number of job objectives to five. Objectives shall be commensurate with duties and responsibilities assigned to the technician and the salary paid to that technician.

3) Objectives 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 objectives are not weighted they are mathematically equal.

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

d. **The Performance Plan.** Every technician shall be issued a performance plan containing critical elements and performance standards written as a series of job objectives in the Performance Appraisal Application (PAA). The critical element is the title of the job objective and the performance standard is the narrative portion (1000 character limit).

1) Performance plans shall be in place and communicated to the technician within 30 days from the start of the rating cycle, entrance on duty of a new technician, or technician job change. The 30 day requirement may be extended up to an additional 60 days. Such extension shall not impact or delay the issuance of a yearly appraisal.

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 PAA. It is expected that the performance plan will normally be communicated to the technician by the rating official face-to-face.

e. 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 Employees in the Executive Branch, the DoD Joint Ethics Regulation, applicable military regulations and in Technician Personnel Regulations.

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

- 1) The supervisor goes into the PAA 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 PAA 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.

g. Adjustment of Performance Plans. Performance plans should be reviewed regularly. An adjustment may include removing, adding or modifying a critical element. When adjusting performance plans, supervisors and technicians must follow the requirements for planning, communicating, monitoring, and assessing expectations established in this regulation. Adjustments to performance plans shall be in place and communicated to the technician no later than 120 days prior to the end of the appraisal period (30 November in the standard cycle). A critical element that ends before the end of the performance year may be captured in an interim review, but not rated until the end of the performance year. It is expected that adjusted critical elements will normally be communicated to the technician by the rating official in a face-to-face communication.

2-8. Supervisory Critical Element

a. Mandatory Critical Element for Supervisors. A supervisor's performance plan shall include at least one managerial/leadership critical element. The mandatory critical 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 critical 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 critical 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 are expected 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. 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 PAA. 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 PAA 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. Closeout Assessments

When it is known the supervisor will cease to exercise duties related to monitoring, developing and rating a technician's performance (due to job change, extended absence, retirement, etc.), the supervisor shall complete a closeout assessment. Closeout assessments are completed in the PAA and include a brief narrative description of technician performance, achievements, and contributions during the current appraisal period. A closeout may result from a job change by either the supervisor or the technician.

- a. A supervisor shall prepare a closeout assessment for a technician when there is a change in supervision but the technician will remain in the same position. A supervisor shall prepare a closeout assessment for technicians on temporary details or assignments as described in 2-6.

- b. A closeout assessment is only required if a technician has been assigned to a specific supervisor and has been on an approved performance plan for more than 120 calendar days.

- c. Closeout assessments will normally be accomplished prior to the date the supervisor ceases to exercise duties related to monitoring, developing and rating the technician's performance and shall be considered by the appropriate rating official, when determining the annual rating of record.

- d. A closeout assessment for a technician that was prepared during the most recent appraisal period shall be available for review by the technician, the supervisor (or rating official, if different), and the higher level reviewer.

- e. The process for completing a closeout is as follows:

- 1) The supervisor goes into the plan under the Closeout Assessments Tab and creates an assessment.

- 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 closeout commentary for each objective.

- 5) The supervisor communicates the result to the technician and obtains acknowledgement of the technician.

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 20 days of the end of the appraisal period or within 20 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 PAA. 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 after a technician has completed the minimum 120 day period, the supervisor shall provide either a closeout or rating of record assessment. If the technician will continue in the same position, a closeout is completed. If the technician is moving into another position with different duties, a rating of record will be completed.

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 PAA 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 Methodology

a. The five rating level evaluation method is used to provide consistency in describing ratings of record and as a reference point for applying other related actions, including but not limited to: Within Grade Increases/Step Increases, Incentive Awards, Reassignments, Reductions in Grade or Removals, Promotions, and Reduction in Force. Assessing a technician's performance involves assigning a rating to each individual critical element and averaging the ratings to arrive at the final rating of record. Each of these steps is outlined in this section.

b. A rating of record may not be lowered based solely on an approved technician absence from work, including the absence of a disabled veteran to seek medical treatment.

c. Critical Elements. Each critical element is evaluated based on the technician's accomplishments relative to critical elements and performance standards.

1) The supervisor shall provide a narrative description and assign a rating (a single numerical score from 1 to 5, expressed as a whole number) to each job objective.

2) When rating objectives, a supervisor must consider all applicable performance and accomplishments, including, but not limited to, technician self assessments, interim reviews and closeout assessments that apply to the current appraisal period.

3) The result of this process is recorded as the critical element rating.

4) If critical elements are weighted, the weights are applied to the adjusted rating. These weighted scores shall be added together to obtain the overall average score.

(5) The 1-5 critical element numerical score is described in Figure 2-2.

Figure 2-2: Critical Element Rating Descriptors Example

RATING	DESCRIPTORS: The following definitions apply to the individual critical element to be rated, not the summary rating:
5 – Outstanding	For 2 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, and represented the organization effectively.
4 – Excellent	Meets the Level 3 standard & Level 5 in at least 1 item; continuously improves results
3 – Fully Successful	Overall fully successful performance described, overcoming anticipated obstacles.
2 – Marginal	Following counseling, falls short of Level 3 in this objective
1 – Unacceptable	Following counseling, fails in this objective
Not Rated	The technician did not have an opportunity to perform the critical element because it became obsolete or could not be accomplished due to extenuating circumstances.

d. Features of the Summary Level 5, Pattern H Method.

1) The five rating level evaluation method and is used to provide consistency in describing ratings of record for an appraisal period.

2) The rating of record shall be the rounded average of the ratings. When the average is .51 or higher, the rating is rounded up to the next higher whole number. When the average is .50 or lower, the rating is rounded down to the next lower whole number. Any critical element rated as Not Rated (NR) is not counted when averaging ratings. The rating of record is subject to higher level review.

3) 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.

4) 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.

e. The rating of record is communicated to technicians in the form of a rounded score on a scale from Level 1 to Level 5 following the methodology outlined in Figure 2-3.

Figure 2-3: Summary Rating of Record

AVERAGE RATING RANGE	RATING OF RECORD	RATING OF RECORD DESCRIPTOR
4.51 to 5.00	5	Outstanding
3.51 to 4.50	4	Excellent
2.51 to 3.50	3	Fully Successful
2.00 to 2.50	2	Marginal
1 on any critical element	1	Unacceptable

f. Special Purpose Rating of Record. If as the result of a PIP, a technician that was at Level 1 performance improves his or her performance above the unacceptable level for no less than 30 calendar days, the supervisor (or rating official, if different) shall recommend an additional rating of a Level 2, Marginal rating.

2-14. Performance Deficiencies

a. Managers and supervisors are required to provide proactive assistance to non-probationary technicians who are performing at or below the Level 2, Marginal rating. 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 at or below Level 2 Marginal 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 Human Resources Office, 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.

d. A PIP may also be used as a tool to correct Level 2 Marginal performance. However, failure in this situation to improve under the PIP will not lead to involuntary reassignment, demotion or removal.

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 Outstanding, Excellent, or 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 Outstanding, Excellent, or 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 Marginal or Unacceptable Ratings (State Review and Appeals Board)

- a. Appeals of performance ratings of Marginal or Unacceptable will be accomplished by a State Review and Appeals Board consisting of three members.
- b. An appeal based on Marginal performance must be filed within 30 calendar days after the technician receives of the appraisal.
- c. 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 Performance Appraisal Application, 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 HRO. 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

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 Effective Date

Defaults to the first day after the appraisal period end date. The date the appraisal period starts.

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 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 standards). 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 job elements. From this and the supervisor's knowledge of workload priorities and mission requirements, the job elements can be identified and established.

b. Setting Performance Standards. Specific expected manners of performance are identified for each job 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 and performance standards 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 job objectives by identifying critical elements and matching them with performance standards.

a. In the Performance Appraisal Application you will build performance plans by establishing job objectives. A job objective 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 job objective 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 employees 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 employee'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. You may also 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 an employees 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 employee recognize how to achieve "Outstanding." Be specific and avoid generalizations whenever possible.

3) Excellent Level. In all cases, the following language may be used: "*Meets all of the 'Fully Acceptable' and, in addition, _____, but not all, of 'Outstanding.'*" (Note: The number used in the blank space may be a fraction (like "one-half"), a percentage (like "60%"), or a list of specific manners (like "items 1, 3, and 5)."

4) Marginally Acceptable and 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 Job Objective. Finally, use the critical element to fill in the Job Objective Title block in the Performance Appraisal Application (PAA). Cut-and-paste or retype the 5-level performance standard you have developed into the large block for the Job Objective in the PAA. 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 the Performance Appraisal Application. 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 employee 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 PAA 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.

4 Excellent

Meets the Level 3 standard & the requirements for Level 5 in at least one item

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.

2 Marginal

Following formal counseling, falls short of the Level 3 standard

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 employees. 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 employees 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 employees should be separated who cannot or will not improve their performance to meet required standards.
 - (g) Educate and train employees when it will result in better organizational and individual performance.
 - (h) Protect employees against arbitrary action, personal favoritism, or coercion for partisan political purposes and prohibit employees 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 employees 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 employee 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 employee'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 employee 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 employee or an applicant.
 - (i) **RETALIATE** against employees 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, Employee 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