

PERFORMANCE MANAGEMENT

National Guard

Technician Personnel Management Course



Overview

- Performance Management Program
- Appraisal System
- Appraisal Rating Cycles
- Conducting Performance Feedback
- Methodology
- Actions Needed based on results
- Appeals

Performance Management

A continuous systematic process of evaluating individual technician performance against clearly stated performance job objectives within their position description.



REFERENCE:

CNGBI 1400.25 vol 431

Role as a Supervisor

Objective:

- Identification of duties and responsibilities
- Establishment of performance job objectives
- Two-Way Communication of job objectives
- Establishment of methods and procedures to appraise performance against established job objectives
- Appraising performance through periodic feedback, formal interim reviews and formal appraisals.
- Opportunity to improve performance if marginal or unacceptable results are observed.
- Appropriate use of appraisal information in making personnel decisions

Role as a Supervisor

- Planning and Assigning Work
 - Setting clear goals
 - Assigning clear and specific duties
 - Ensuring duties and goals are in the SMART Format
- Ensuring accountability/responsibility
- Identifying/discussing acceptable and unacceptable levels of individual job performance on a daily basis

Performance Appraisal Plan

- Assisting the technician to be successful:
 - Directing/assisting in accomplishing work
 - Identifying resources available/needed
 - Identifying/ensuring technicians understand how to use those resources
 - Briefing employees on any relevant organizational process
 - Discussing how work is tracked/monitored



Performance Appraisal Plan

Process Preparation

- Ask the incumbent for input
- Analyze the position
- Review/ensure accuracy of the position description
- Assess what the key Knowledge Skills and Abilities are needed to be successful
- Review special duties
- Review/update the job objective
- Ensure weights are identified when/if applicable



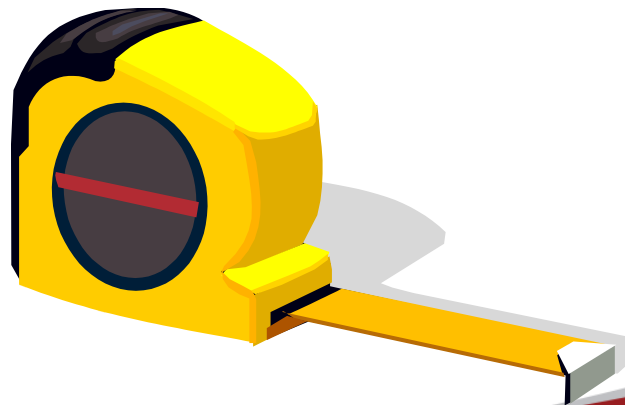
QUESTIONS



Performance Appraisal Plan

What is a job element?

It is a measurement or means of determining how the objective should be accomplished.
Think of it as a gauge or a yardstick.



Characteristics For Measuring Performance

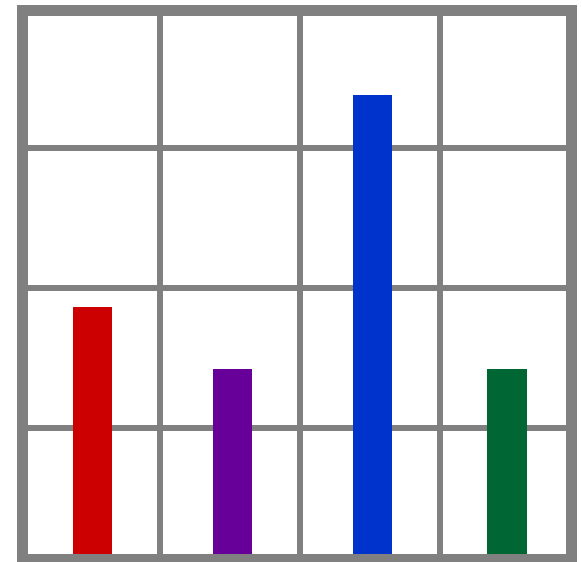
Accuracy

Objectivity

Written job objective

**Measurability...of the
“right” thing.**

Results



Characteristics For Measuring Performance

SMART Format:

- **S**pecific
- **M**easurable
- **A**ttainable
- **R**ealistic
- **T**imely

Characteristics of an Adequate Job Element

- Differentiates between acceptable and unacceptable results
- Provides challenge to the technician
- Realistic – attainable by qualified person



Characteristics of an Adequate Job Element

- States conditions that will exist and will measure a job element when performed acceptably
- Relates to or expresses a time frame
- Observable – to measure and document

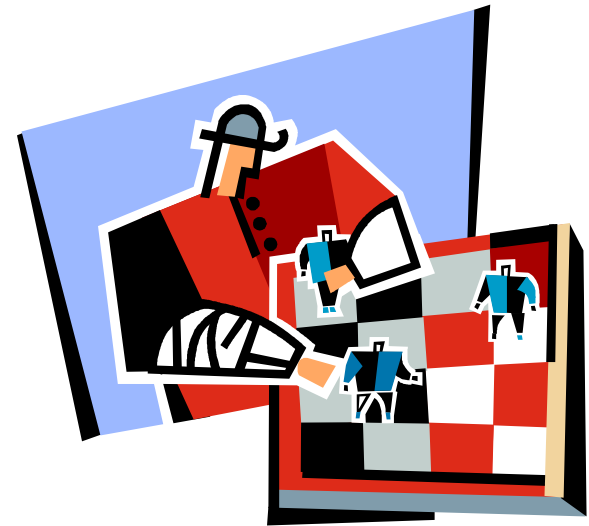


Developing Job Elements

- Analyze the Job :
 - Consult the PD and other source documents
 - Ask the incumbent for input
 - Review special duties (if assigned)

Developing Job Elements

- Review any collateral program duties:
 - Consult program manager for job objective and appraisal input
 - May NOT be designated as Critical Elements



Developing Job Elements

Critical job elements must be identified

Examples:

- Constitute a major component of the job
- If not accomplished, would adversely affect the organization
- If performance of them was unacceptable, would cause serious consequences
- If performance of them continued to be unacceptable, would warrant removal or demotion of the incumbent

Developing Job Elements

Critical elements, for Supervisory Technicians, **MUST** include:

- EEO Program Support
- Safety, Fire, Health and Environmental Program Support
- Timely performance management responsibilities
- Adherence to laws concerning Merit System Principles and Prohibited Personnel Practices
- Management control issues (Army)



Merit System Principles

Adapted from § 2301(b) of title 5 U.S.C.

- Recruit, select, and advance on merit after fair and open competition.
- Treat employees and applicants fairly and equitably.
- Provide equal pay for equal work and reward excellent performance.
- Maintain high standards of integrity, conduct, and concern for the public interest.
- Manage employees efficiently and effectively.

Merit System Principles

Adapted from § 2301(b) of title 5 U.S.C. (con't)

- Retain or separate employees on the basis of their performance.
- Educate and train employees on the basis of their performance.
- Protect employees from improper political influence.
- Protect employees against reprisal for the lawful disclosure of information in “whistleblower” situation.

Prohibited Personnel Practices

Adapted from §2302(b) of title 5 U.S.C.

- Illegally discriminate for or against any employee/applicant.
- Solicit or consider improper employment recommendations.
- Coerce an employee's political activity.
- Influence any person to withdraw from competition for a position.
- Give unauthorized preference or improper advantage.

Prohibited Personnel Practices

Adapted from §2302(b) of title 5 U.S.C. (con't)

- Employ or promote a relative.
- Retaliate against a whistleblower, whether an employee or applicant.
- Retaliate against employees or applicants for filing an appeal.
- Unlawfully discriminate for off duty conduct.
- Knowingly violate veterans' preference requirements.
- Violate any law, rule, or regulation which implements or directly concerns the merit principles.

Developing Job Elements

- Quality - X# of allowable defects within appraisal period.
- Quantity - X# of reports, accounting or filing actions, or material, aircraft, equipment form entries incomplete within appraisal period.
- Timeliness - X# of reports, accounting or filing actions, or material, aircraft, equipment form entries not completed on time.
- Expected Results - Reports, spreadsheets, files, or form entries legible, neat, with no more than X# of corrections.
- Manner of Performance - The way you approach the job-your conduct or behavior, i.e. feedback to supervisor reveals no more than X# of complaints within appraisal period.
- Method of Performance - IAW Regs, T.O.s, T.M.s, O.I.s

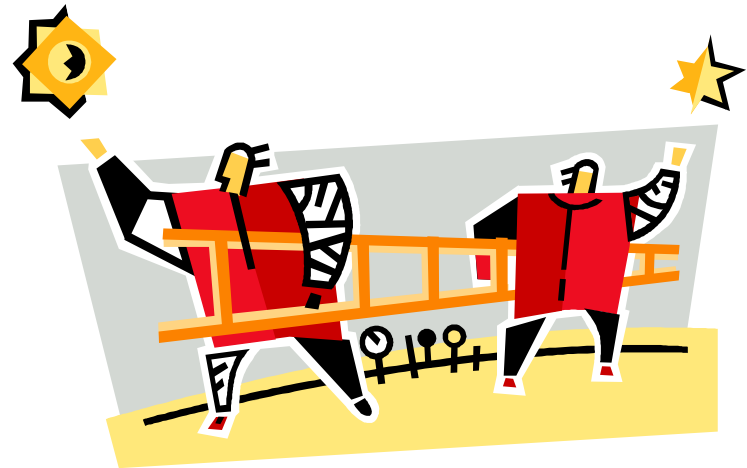
Technician Appraisal Rating Cycles

Type Appraisal / When Due:

- **TRIAL / PROBATIONARY**- Technicians are observed and appraised during their trial / probationary period to determine if they have the qualities required for permanent Government service.
- **ANNUAL** - Normally due each 31 March. 90 calendar days is the minimum rating period of evaluation.

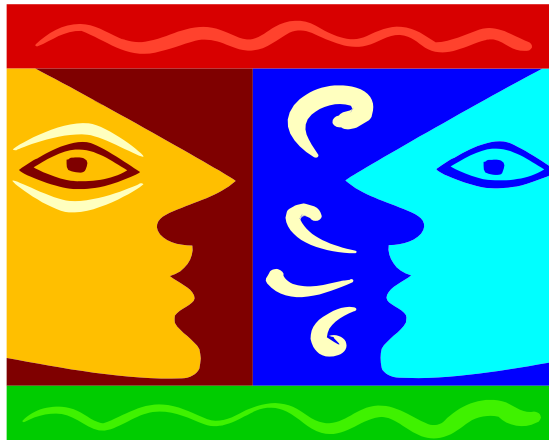
Conducting Performance Feedback

- Open and honest 2-way communications
- Consistent, bias-free assessment of the technician's work
- Proper documentation



Communications

- Let the technician know exactly where he/she stands in the appraisal process
- Periodically discuss with the technician specific job-related goals/job objective
- Remember – communicating is a two-way street



Appraisal Documentation



Must be...

- Job-related
- Accurate
- Concrete
- Simple; to the point
- Specific (answers the who, what, where, when, why and how)

Appraisal Documentation

Must:

- Be based on fact and own observations or work performance
- Represent an on-going record of incidents/activities/achievements
- NOT be based on personal traits, hearsay and/or innuendoes
- You discussed the issue being documented with the technician
- The technician is aware of what the problem is and what the outcome will be if the problem is not corrected

Methodology

The Three Tiers, or Levels of Performance:

- OUTSTANDING (5) - Performance greatly exceeds the standard established at the 3 level.
- EXCELLENT (4) - Performance exceeds the standard established at the 3 level (no longer used in DoD!)
- FULLY SUCCESSFUL (3) - Performance meets standard at the 3 level
- MARGINAL (2) - Performance is at a level below the 3, but above unacceptable (no longer used in DoD!)
- UNACCEPTABLE (1) - Performance in one or more critical element is unacceptable

Actions Needed when Rating is less than Successful

- Appraisal of less than “Fully Successful” requires immediate remedial action to allow improvement, including:
 - Establishment of a written Performance Improvement Plan (PIP)
 - An offer to participate in the Employee Assistance Program (EAP), as needed
 - Description of potential actions resulting from continued “unacceptable” performance
 - Statement of Notice that performance is at best “Marginally Acceptable”, for pay purposes
 - Withholding of Within-Grade increase for which otherwise eligible

NOTE: HRO must be notified immediately

Performance Appraisal Rating

- **Level 5 – Outstanding:** The average score of all performance element ratings is 4.3 or greater, with no element being rated a “1”, resulting in an overall rating of record that is a “5”.
- **Level 3 - Fully Successful:** The average score of all performance element ratings is less than 4.3, with no element being rated a “1”, resulting in an overall rating of record that is a “3”.
- **Level 1 – Unacceptable:** Any performance element rated as a “1”.

Actions Needed when Rating is less than Successful

- If performance improves to “Fully Successful”, a new rating may be given
 - An acceptable performance rating requires granting a Within-Grade Increase which, as determined by the state, can be effective:
 - *As of that time, or*
 - *Retroactive*
 - Document Supervisor’s Brief or NGB Form 904-1

Actions Needed when Rating is less than Successful

A continuing “Unacceptable” rating requires the technician be:

- Removed from employment in that position,
- Reduced in grade (in that position) to a level at which qualified and capable of acceptable performance, OR
- Reassigned to another position for which qualified and capable of acceptable performance

Performance Improvement Plans

Anytime performance of a job objectives/critical element(s) is at the marginal level (below rating record of 3):

- Contact HRO
- Provide increased counseling, supervisory assistance, training, etc., to elevate performance to fully-successful.
- Provide information about Employee Assistance Program (EAP).
- Describe personnel actions resulting from continued marginal performance
- Document action in Supervisor's Brief or NGB Form 904-1

Performance Appraisal Appeals

Technician may appeal any performance appraisal or notice of rating or any single aspect of an appraisal/rating

Timeframes for filing appeals:

- Other than unacceptable ratings – within 10 calendar days of receiving the original copy of the appraisal
- Other than Unacceptable ratings – within 30 calendar days of receipt of written notice or original copy of appraisal

Appraisal Appeals

The Performance Appraisal Review and Appeals Board:

- Established by the state Adjutant General
- Consists of members of equal or higher grade than appellant
- *Cannot be in the appellant's chain of command*

Appraisal Appeals

The Performance Appraisal Review and Appeals Board:

- Concerned only with the appeal--
 - NOT the personnel action taken as a result of an unacceptable appraisal
 - Submits decision within 15 calendar days
- The appellant is entitled to representation
- There are no appeal rights for this purpose beyond the Adjutant General

QUESTIONS

