Technician Personnel Regulation 430

Performance Management

National Guard Technician Performance Appraisal Program

Departments of the Army and the Air Force
National Guard Bureau
Arlington, VA 22202-3231
5 November 2009

UNCLASSIFIED

SUMMARY of CHANGE

TPR 430
Performance Management National Guard Technician Performance Appraisal Program
Revision dated 5 November 2009

o Adds an explanation of the responsibilities of the Chief, National Guard Bureau; Manpower and Personnel Directorate; Chief of Technician Personnel Division; and the Joint Force Headquarters-State.

o Prescribes five rating level evaluation method.

o Clarifies the procedures, retention periods and requirements for documentation of the Performance Appraisal program.

o Clarifies the Performance Improvement Plan procedures.

o Adds Sample Notice of Opportunity to Improve Performance Letter to technician.

o Prescribes the use of the automated NGB Form 430, Performance Appraisal

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National Guard Technician Performance Appraisal Program

By Order of the Secretaries of the Army and the Air Force:

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History. This publication is a revision of TPR 430.

Summary. This regulation supersedes TPR 430 dated 1 October 1997. This revision prescribes one performance management program for all dual-status and non-dual status National Guard Technicians employed under the provisions of 32 U.S.C. 709. This regulation prescribes the use of the five-rating level evaluation method for the performance appraisal program.

Applicability. This regulation applies to all dual-status and non-dual status National Guard Technicians employed under the provisions of 32 U.S.C. 709 except for technicians occupying temporary positions and those technicians for which employment does not exceed the minimum performance in a consecutive 12 month period, and who are employed at the end of the rating period.

Proponent and exception authority. The proponent of this regulation is the Chief, National Guard Bureau, Technician Personnel Division. 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.

Supplementation. Supplementation of this regulation is authorized provided the supplementation complies with the DoD Performance Appraisal System, this regulation, and the State's Collective Bargaining Agreement. One copy of any supplement should be provided to Chief, National Guard Bureau, ATTN: NGB-J1-TN, 1411 Jefferson Davis Highway, Arlington, VA 22202-3231.

Suggested Improvements. Users are invited to submit comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Chief, National Guard Bureau, ATTN: NGB-J1-TN, 1411 Jefferson Davis Highway, Arlington, VA 22202-3231.

Distribution. B/F.

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Chapter 1
General Information

1-1. Purpose
This regulation establishes the Performance Appraisal Program for National Guard Technicians and is consistent with Title 5 of the Code of Federal Regulations (CFR); and in compliance with DoD 1400.25-M. The Performance Appraisal Program utilizes a multi-level summary rating method that makes distinctions among employees or groups of employees such as comparing, categorizing, and ranking employees or groups on the basis of their 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 the glossary.

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. 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) Hold 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) Establish state review and appeal processes to review and resolve complaints about assigned ratings.

(4) Ensure that managers and supervisors are appraised on performance in furthering Equal Opportunity goals and objectives, and other supervisory leadership critical elements. (Appendix B)

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

e. Joint Force Headquarters-State, JFHQ (St) J-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.

f. Human Resources Officer (HRO):

(1) Assists managers in establishing the performance management program that provides a meaningful, efficient method for the evaluation of individual, team (where elected) and organizational performance in partnership with technicians and their union representatives in accordance with law.

(2) Administers the Performance Management Program. The HRO also provides timely advice and assistance to managers, supervisors, and technicians.

(3) Develops and conducts training necessary to ensure all personnel involved in the appraisal process are adequately trained in the performance management Program including responsibilities of all parties.

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

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

(6) Maintains necessary records, evaluates effectiveness of the Performance Management Program, and advises the Adjutant General on issues requiring refinement or improvement.

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

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

g. Managers and Supervisors are charged with the responsibility, and will be held accountable, for effectively managing the performance of assigned employees to include but not limited to:

(1) Executing the requirements of this subchapter in a manner consistent with merit system principles set forth in Title 5, U.S.C., Chapter 23;

(2) Ensuring that employees are trained in the performance management program;

(3) Clearly communicating the performance plan to employees, and holding employees responsible for accomplishing their critical elements and performance standards;

(4) Aligning performance plans and employee development with organization mission and goals;

(5) Developing written critical elements and their performance standards and ensuring performance plans include all of these elements and standards;

(6) Providing employees meaningful, constructive, and candid feedback relative to their performance, including at least one documented interim review;

(7) Ensuring employees 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 employees based on their performance and the employee's contributions aligned with the strategic goals and objectives;

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

(12) Ensuring that eligible employees are assigned a rating of record as prescribed by this regulation; and

h. Technicians are encouraged to:

(1) Engage in dialogue with supervisors to develop written critical elements and their 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 objectives of the Performance Appraisal Program are to provide a meaningful and efficient method for the evaluation of individual, team (where elected) 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 employees.

c. Involve technicians in improving organizational effectiveness and accomplishing organizational missions and goals; and assessing individual, team (where team management concepts apply) and organizational effectiveness and performance.

d. Identify accountability for the accomplishment of organizational and (where applicable) team goals and objectives.

e. Provide for planning, monitoring, developing, and evaluating performance; use appropriate measures of performance to recognize and reward employees; and use the rating of record results as a basis for appropriate personnel actions.

f. Support and be consistent with Merit System Principles in Section 2301 of 5 USC.

g. Provide appropriate training to those involved in the program.

h. Encourage technicians to take responsibility to continuously improve their performance, support team endeavors, develop professionally, and perform at their full potential.

i. Employee Involvement. Programs shall provide for employee participation in program development, implementation, and application. For employees who are represented by a labor organization that is accorded exclusive recognition under 5 U.S.C. 71 (reference (b)), employee involvement shall take place consistent with the requirements of that chapter. For other employees, organizations shall determine the method of employee

involvement consistent with applicable law and regulation. Programs should encourage employee participation in establishing performance standards.

Chapter 2.
Technician Performance Appraisal Program Requirements.

The National Guard requires each state to comply with this regulation.

2-1. The Annual Appraisal Period.

The appraisal period will be on an annual basis with the appraisal year; normally October 1 through September 30 each year. During initial conversion into this performance management program, organizations may be subject to an appraisal period other than the standard cycle. Additionally, the Chief of National Guard Bureau may designate other periods as dictated by situation or circumstance.

2-2. Five Rating Level Evaluation Method.

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 regulations, including, but not limited to:

a. Within Grade Increases/Step Increases (5 CFR Parts 531 and 532).
b. Incentive Awards (5 CFR Part 451)
c. Reassignments, Reductions in Grade or Removals (5 CFR Part 430).
d. Promotions (5 CFR Part 335 and TPR 300(335)).
e. Reduction in Force (TPR 300 (351)).

2-3. Grandfather Provision comparable to Section 430.201(b) of 5 CFR, Part 430, 451 and 531.

Administrative actions (such as 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.

2-4. Minimum period of performance.

Unless otherwise excluded, this regulation applies to employees who at a minimum have been, or are expected to be, employed in a position and performing under an approved performance plan for 120 calendar days during the current appraisal period.

a. Periods during which an employee is in a non-pay status (e.g., leave without pay, absence without leave) may not be applied toward the 120 calendar day minimum.
b. Temporary technicians do not receive performance appraisals.

2-5 . Trial/Probationary Period Ratings.

New technicians will be carefully observed and appraised during their trial/probationary period to determine whether they have the qualities required for permanent Government service. During this period, supervisors should provide specific training and assistance to improve the technician's work performance if required. 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 employee has satisfactorily met all assigned critical elements.

a. If retention is not recommended, supporting documentation will be forwarded to the HRO who will advise supervisors and managers on appropriate action(s) to remove the technician from Federal service. Initiation of a written removal action may be effected any time during the trial/probationary period.
b. 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.
c. After completing 12 months of service the technician will be given an official performance rating in accordance with the established performance appraisal program.

2-6. Procedures for Technicians on Detail.

When a technician is to be detailed to another position, either with the same or with a different supervisor, for a period covering 120 calendar days or more, a written performance plan will be established for this position before the detail starts.

2-7. Postponement of Annual Performance Ratings of Record.
Annual performance ratings 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 their present assignment because:

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. The postponement should not be extended any longer than necessary to permit 120 calendar days under the performance plan;

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. Employees who are absent at the end of the appraisal period due to a work-related injury. Eligible employees 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.

2-8. Performance Plans.

a. Aligning Performance Plans with Strategic Goals. Performance plans shall support and align with the DoD mission and its strategic goals, organizational program and policy objectives, annual performance plans, and other measures of performance. The DoD mission and goals cascade to the state, and resulting state mission and goals are the basis for individual performance expectations.

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 employee;

(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 and Communicating Performance Plans. Communication between supervisors and employees is critical to the success of the performance management program. Performance expectations and year-to-date progress should be the subject of several discussions throughout the year between supervisors and employees. At least one documented interim review is required.

(1) Performance expectations will normally be communicated to the employee in writing within 30 days from the start of the rating cycle, entrance on duty of a new employee, or employee job change, but no later than 120 days prior to the end of the appraisal period. Employees are always 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 employees as stated in the Standards of Ethical Conduct for Employees in the Executive Branch, and the DoD Joint Ethics Regulations.

(2) Supervisors and employees should have meaningful dialogue on performance expectations, including but not limited to:

a. Critical elements(s) appropriate for the grade and current salary to which the employee is assigned and how they relate to organizational mission and goals;

b. Weight of each critical element, if applicable;

d. Adjustment of Performance Plans during the Appraisal Period. Performance plans, (critical elements and standards) should be reviewed regularly. When adjusting performance plans, supervisors and employees 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 employee normally within 30 days from the start of the rating cycle, entrance on duty of a new employee, or employee job change.

e. Performance Plans. Every eligible employee shall be issued a performance plan containing the employee's critical elements and performance standards. Performance plans shall be documented in DCPDS, utilizing the Performance Appraisal Application tools.

(1) Performance plans shall be in place and communicated to the employee normally within 30 days from the start of the rating cycle, entrance on duty of a new employee, or employee 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) Higher-Level Review of Performance Plans: The performance plan is subject to higher-level review to ensure consistency and fairness within and across organizations. The performance plan is considered to be approved after higher-level review and the supervisor has communicated the plan to the employee in writing. The supervisor shall record the employee's receipt of the performance plan and the manner in which it was provided (face-to-face, telephone, etc.) to the employee on the official NGB Form 430 performance appraisal form, (Appendix C), or locally developed equivalent.

f. Critical Elements. Each eligible employee shall have their work assignments or responsibilities described in their performance plan as a critical element. Supervisors are encouraged to involve employees in the development of their critical elements. Normally, this process will include at least one face-to-face discussion between supervisors and employees. Final decisions regarding performance standards, including critical elements, are within the sole and exclusive discretion of management.

(1) Each eligible employee shall be assigned at least two and generally three to five critical elements. While each employee may have up to a maximum of ten "critical elements", best practice is to assign three to five critical elements. These critical elements shall be commensurate with duties and responsibilities assigned to the employee and the salary paid to that employee. Critical elements may be weighted to reflect relative priority of the elements included in the performance plan. No critical element may be weighted less than 10 percent. Weighted critical elements must total 100 percent. If critical elements are not weighted they are considered all equal.

(2) Critical elements and performance standards should be documented on the automated NGB Form 430, in the Job Objectives block.

(3) Adding Critical Elements. When new critical elements are assigned (e.g., due to a job change, additional duties, promotion, etc.), critical elements must communicate that portion of a major performance expectation that can be accomplished within the time remaining in the appraisal period. Critical Elements may not be added or changed 120 days prior to the end of the appraisal period.

(4) Mandatory Critical Elements(s) for Supervisors. A supervisor's performance plan shall include at least one supervisory critical element. This critical element may require accountability for the effective administration of (if applicable), Equal Employment Opportunity (EEO), and/or other National Guard specific requirements in addition to applicable policies for which supervisors will be held accountable. Those included in this regulation and supplemental guidance issued by National Guard Bureau as well as those in other laws or regulations.

(5) A mandatory critical element will hold supervisors accountable for carrying out the responsibilities outlined in this regulation, including but not limited to:

a. Clearly communicating the performance plan and holding employees responsible for accomplishing their critical elements and performance standards;

b. Making meaningful distinctions among employees based on performance and the employee's contributions aligned with the strategic goals and objectives;

c. Fostering and rewarding excellent performance;

d. Addressing poor performance;

e. Assuring employees are assigned a rating of record;

f. Adhering to laws and regulations concerning merit system principles and prohibited personnel practices; and

g. Ensuring continuing application of, and compliance with EEO laws, regulations and policy.

2-9. Monitoring Performance.

a. As part of monitoring employee performance, supervisors are expected to:

(1) Engage in dialogue with the employee concerning performance;

(2) Conduct one or more documented interim reviews with each employee;

(3) Maintain performance information;

(4) Update critical elements and performance standards if they change;

(5) Anticipate and address performance deficiencies; and

(6) Reinforce effective behavior.

b. Properly monitoring performance enables supervisors to identify, address, and resolve performance deficiencies during the appraisal cycle. A Level 1 rating of record does not need to be formally assigned to the employee 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 employees regarding their performance. Face-to-face is the preferred method of supervisory/employee dialogue for performance-based issues. Although supervisors have the primary responsibility for providing employees feedback, employees share the responsibility of identifying and communicating successes and difficulties relative to their assigned performance plan.

(2) Employees may request periodic feedback and dialogue regarding their own performance. To the extent practicable, supervisors will accommodate such requests.

d. Employees on temporary assignment/promotion. Policies established for setting and communicating performance plans will be applied to the extent practicable. Generally, an employee on a short-term detail, temporary reassignment or temporary promotion during the appraisal period shall be assigned an annual rating of record by the supervisor/rater of the permanent position.

(1) At the time of the temporary assignment, the employee, temporary (gaining) supervisor and supervisor of the permanent position shall jointly review the necessity to adjust previously assigned critical elements.

(2) The supervisor of the permanent position has final authority to determine and document the appropriate critical elements and performance standards. Both supervisors will cooperate to ensure that the employee is provided meaningful feedback during the temporary assignment or temporary promotion and is issued at least one documented interim review.

(3) The temporary supervisors shall complete a closeout assessment for employees who have been assigned to them for at least 30 calendar days.

(4) In the case of long-term details, temporary reassignments or temporary promotions, it may be more appropriate for the temporary (gaining) supervisor to prepare the annual rating of record. To the extent practicable, the rater and reviewing official will consider the closeout assessment provided by the supervisor of the temporary position.

e. Interim Reviews. While ongoing informal dialogue and feedback are essential throughout the rating cycle, one or more formal interim performance reviews shall be conducted between supervisors and employees. At least one interim performance review shall be prepared and documented during the appraisal period. The interim review shall be documented on automated NGB Fm 430, or a locally developed equivalent method.

(1) 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 employee, as appropriate.

(2) The employee shall be provided a copy of the interim review. Supervisors shall record the employee's receipt of the interim review and the manner in which the review was communicated (face-to-face, telephone, etc.).

(3) Normally, the immediate supervisor will accomplish the interim review. To the extent practicable, if the immediate supervisor is unable to accomplish the interim review, he or she shall provide meaningful input to the manager responsible for accomplishing the review.

(4) Interim reviews are subject to higher-level review to ensure consistency and fairness within and across organizations. The interim review is considered to be approved after higher-level review, and the supervisor has communicated the plan to the employee in writing.

f. Closeout Assessment. A supervisor shall complete the NGB Fm 430, or locally developed equivalent, giving a brief narrative description of employee performance, achievements and contributions during the current appraisal period when it is known the supervisor will cease to exercise duties related to monitoring, developing and rating employee performance (due to job change, extended absence, retirement etc.) for such employees. This condition may result from a job change by either the supervisor or the employee.

(1) A supervisor shall prepare a closeout assessment for an employee when it is known the employee will change positions resulting in a new supervisor. Additionally, a supervisor shall prepare a closeout assessment, as required, for employees on details or other previously occupied positions, as input for an employee's rating of record.

(2) A closeout assessment is only required if an employee has been assigned to a specific supervisor and has been on an approved performance plan for more than 120 calendar days.

(3) Closeout assessments will normally be accomplished within 10 calendar days after the supervisor ceases to exercise duties related to monitoring, developing and rating the employee's performance and shall be considered by the appropriate rating official when determining the annual rating of record.

(4) A closeout assessment for an employee that was prepared during the most recent appraisal period shall be available for review by the following:

a. the employee;
b. the employee's supervisor (or rater, if different); and
c. responsible reviewing official.

2-10. Developing Performance.

a. Employee Development. Developing performance is integrated into the performance management process. Together with meaningful performance-related discussions that assist the employee in reinforcing strengths and correcting weaknesses, employee development opportunities should be discussed.

b. Supervisors should discuss and encourage employees to seek professional and technical development opportunities to further enhance their contribution to the organization's mission and goals, as appropriate. Employee development opportunities may include classroom training, on-the-job training, mentoring, special assignments, details/reassignments, group performance meetings, process improvement teams, and self-development activities.

2-11. Performance Deficiencies.

a. Managers and supervisors are required to provide proactive assistance to non-probationary employees who are performing at or below the Level 2, Marginal rating. Assistance may be provided at any time during the appraisal period that performance is determined to be at or below the Level 2 rating in one or more critical elements. This performance management program also provides for reassignment, change to lower grade, or the removal of employees who continue to have unacceptable performance but only after the opportunity to demonstrate acceptable performance. This performance management program shall also provide for review and approval of Level 1, Unacceptable ratings of record by a higher-level management official.

b. Personnel actions based on unacceptable performance must comply with the Technician Act of 1968 (32 USC 709, Public Law 90-486), 5 CFR, Part 430, and this regulation.

c. Periodically technicians will be reminded of the critical elements for their positions. They will be assisted in improving areas of unacceptable performance by such proactive actions as counseling, increased supervisory assistance, additional training, etc. Technicians will be advised in writing and placed on a formal Performance Improvement Plan (PIP), normally 90-120 days, if despite reasonable informal efforts their performance remains below the Level 2, Marginal rating in any critical element.

d. A PIP must document instances of unacceptable performance and state specifically what must be accomplished to perform at or above the Level 2 rating. (Appendix D)

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

f. If the technician's performance in any critical elements continues to be below the Level 2 rating despite efforts by the supervisor or manager to improve performance, the technician will be advised they will be reassigned, reduced in grade, or removed from employment.

g. 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.

2-12. Performance Improvement Plan Requirements.

a. The formal PIP is initiated by the technician's supervisor after consultation with the Human Resources Office and legal counsel, if appropriate. The technician's supervisor may initiate such action if the technician has been afforded a reasonable opportunity to perform the critical elements in their 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 below the Level 2 rating in one or more critical elements. 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. 30-Day Written Notice Requirement: Should a determination be made to do a reduction in grade, or remove the employee 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), which documents instances of unacceptable performance in detail, on which the action is based (see sample memorandum in Appendix E). The

reviewing 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 employees.

c. Any time an employee is performing at an unacceptable level, including the proposed assignment of a Level 1 rating of record, timely and appropriate management action is critical.

d. Determine and Clearly Define Unacceptable Performance. When addressing unacceptable performance, the supervisor shall identify and communicate to the employee the specific critical element and performance standard(s) that require improvement.

(1) Consideration of Circumstances. When determining what corrective action should be taken to address unacceptable performance, supervisors will take into account the circumstances, including the nature and gravity of the unacceptable performance and its consequences. Supervisors may also take into account knowledge deficiencies, as applicable.

(2) Range of Options to Address Unacceptable Performance. Supervisors will address unacceptable performance with one or more remedial, corrective actions that address the problem. Supervisors should consider the broad range of options available to address unacceptable performance which includes, but is not limited to, the following:

(a) remedial training,
(b) an improvement period,
(c) a reassignment
(d) change to lower grade
(e) removal

2-13. End-Of -Year Performance Assessments.

a. An integral part of the performance management process is the supervisory assessment of performance relative to critical elements and performance standards. This written assessment captures the employee's accomplishments or lack thereof, if applicable, during the appraisal period and determines the rating. Assessing performance involves evaluating employee performance relative to communicated performance expectations, including critical elements and performance standards for the appraisal period.

b. Employee Self-Assessment.

(1) Employees are encouraged to provide a self-assessment for each critical element covering their performance and provide contributions to the organization for the current appraisal period. Employee self-assessments should describe accomplishments relative to performance expectations, including critical elements and performance standards, and organizational mission and goals, team goals, etc. The input will assist the rating official in evaluating more fully the employee's performance results. While entirely voluntary, it is recommended that the employee complete the self-assessment narrative. The employee'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, employees are encouraged to maintain a personal record of their accomplishments, achievements and performance throughout the appraisal period.

c. Supervisory Annual Assessment of Employees. The supervisor (or rating official, if different) must prepare a narrative assessment for each eligible employee. Supervisors will provide a narrative assessment addressing each critical element describing the employee's accomplishments and contributions to the organization relative to his or her performance plan, including an assessment of each critical element. The annual assessment shall be documented on the automated NGB Fm 430, or locally developed equivalent.

(1) If the supervisor (or rating official, if different) has limited direct knowledge of the employee'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) Any time after an employee has completed the minimum period and the supervisor-employee reporting relationship/assignment changes at the end of the appraisal period, the supervisor shall provide an assessment.

2-14. Rating Methodology

a. The method of assessing an employee'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 employee 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 employee's accomplishments relative to the employee's stated critical elements and performance standards for the employee's position description. A supervisor (or rating official, if different) shall assign a summary level rating of 1 to 5 to each critical element in accordance with the guidance in this regulation, and its appendices.

(1) Based on an employee's accomplishments on each critical element, the supervisor shall assign a critical element rating (a single numerical score from 1 to 5, expressed as a whole number) to each critical element.

(2) When rating critical elements, a supervisor must consider all applicable performance and accomplishments, including, but not limited to, employee and closeout assessments that apply to the current appraisal period.

(3) The result of this process is recorded as the critical element rating. A Level1 rating on any individual critical element results in an overall Level 1 rating of record.

(4) If critical elements were weighted, the weights are applied to the adjusted rating. These weighted scores shall be added together to obtain the overall average score. Again, however, if a Level 1 has been assigned to any critical element, the overall rating of record shall be a Level l regardless of the rating or weighting on any other critical element.

(5) The 1-5 numerical score is based upon the following table:

Table 2-1.
Critical Element Rating Descriptors

CRITICAL ELEMENT RATING	DESCRIPTORS: The following definitions shall apply to the summary or overall performance appraisal rating:
5 – Outstanding	Outstanding performance in one or more critical element and excellent performance for all other critical element(s).
4 – Excellent	Excellent performance in one or more critical element(s) and fully successful performance for all other critical elements.
3 – Fully Successful	Overall fully successful performance.
2 – Marginal	Below fully successful performance for one or more critical elements, but at least marginal performance for all critical elements.
1 – Unacceptable	Fails to meet at least the marginal performance standard in one or more critical elements.
Not Rated	Employee 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 above model describes the five rating level evaluation method, and is used to provide consistency in describing ratings of record for an appraisal period. Unacceptable ratings (Level 1) require justification to be approved at the next higher level and documentation must be provided. A Marginal rating (Level 2) allows the supervisor to deny a within-grade or step increase. A formal Performance Improvement Plan (PIP) is required when a Level 1 is given.

(2) Technicians who receive a rating below Marginal (Level 2) 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., 30 to 90 days) for improvement. Failure to improve under the PIP will lead to reassignment, reduction in grade or removal.

(3) A rating of Fully Successful or above (Levels 3, 4, 5) must be supported with written justification for the level of performance, and includes supervisor recommendations for within-grade or step increase, and possible incentive awards.

(4) 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.

(5) The rating of record is subject to higher level review.

e. The rating of record is communicated to employees in the form of a rounded score on a scale from Level 1 to Level 5 following the methodology outlined in this section. (See Table 2-2.)

Table 2-2.
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 an employee improves his or her performance above the unacceptable level for a sustained period of time (no less than 30 calendar days), the supervisor (or rating official, if different) shall recommend an additional rating of a Level 2, Marginal rating.

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 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. Establishment of a Review and Appeals Board. Each Adjutant General will establish an appeals process for technicians to appeal a performance appraisal. An example of an appeals process, one that utilizes a Review and Appeals Board is provided below. States may establish a standing or ad hoc Review and Appeals Board to provide an impartial review of performance appraisal appeals. For appeals of performance ratings other than unacceptable performance, states may choose to provide for a supervisory chain of command review process in lieu of a board appeal. A higher level official in the supervisory chain (not previously involved in this appraisal process) performs an impartial review and provides a recommendation to The Adjutant General. Technicians covered by a negotiated grievance procedure that does not exclude performance ratings from its coverage must use the negotiated grievance procedure.

3-3. State Review and Appeals Board. The State Review and Appeals Board will consist of (at least three) members to provide an impartial review on performance appraisal appeals. 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. The technician is entitled to representation during the board process at no cost to the Government. The board will not review appeals that have been grieved through the negotiated grievance procedure.

3-4. Filing an Appeal. A technician desiring to file an appeal of a performance appraisal, other than for unacceptable or below fully successful performance, may file an appeal to the HRO (who will convene the board) no later than 30 calendar days after the technician's receipt of the appraisal. An appeal based on unacceptable or below fully successful performance must be filed within the 15-day advance written notice period outlined in Appendix E. In reviewing performance appraisal appeals including unacceptable performance, the board by majority vote will recommend to The Adjutant General to either change the appraisal or sustain the appraisal without change. When reviewing unacceptable performance ratings, the board will only be concerned with the performance appeal; it will not review the personnel action taken as a result of an unacceptable appraisal. Supervisors have the right to present their case. The Adjutant General will make the final decision. All members of the board must be present at all times during the hearing, and must participate in proposing a recommendation. A technician has no appeal rights beyond The Adjutant General on these matters. If a technician is a member of a collective bargaining unit with a negotiated grievance procedure covering the challenge of performance ratings, the technician must use the negotiated grievance procedures to challenge the rating of record.

3-5. Appeal Processing. An appeal to the board 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. HRO will establish the board.

3-6. Board Procedures. 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. In the submission of evidence, both oral and written information may be submitted to reach a decision, as long as the technician, the technician's representative, and the representative of The Adjutant General are 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. Board members must serve as impartial fact finders and review each case objectively. They must give consideration to the merits of each case. 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.

Appendix A
References

Section I
Required Publications

DoD Directive 1400.25-M
DoD Civilian Personnel Management System (Cited para 1-1)

DoD Directive 1440.1
The DoD Civilian Equal Employment Opportunity Program (Cited para 1-2)

Section II
Related Publications
A related publication is a source of additional information. The user does not have to read a related reference to understand this publication.

PL 90-486 (as amended)
National Guard Technician Act of 1968

TPR 300 (335)
Merit Placement for National Guard Technicians

TPR 300 (351)
Reorganization, Realignments and Reduction in Force

TPR 752
Technicians, Adverse and Disciplinary Actions

5 CFR 335
Promotion and Internal Placement

5 CFR 430
Performance Management

5 CFR 451
Awards

5 CFR 531
Pay under the General Schedule

5 CFR 532
Prevailing Rate Systems

5 USC Chapter 23
Prohibited Personnel Practices

5 USC Chapter 43
Performance Appraisal

5 USC Chapter 45
Incentive Awards

5 USC Chapter 53
Pay Rates and Systems

5 USC Chapter 71
Labor Management Relations

5 USC 2301
Merit System Principles

5 USC 7114
Representation Rights and Duties

32 USC 709
Technicians, employment, use status

Section III
Prescribed Forms
Except where otherwise indicated below, the following form is available on GKO.

NGB Fm 430
Performance Appraisal Form. This form is electronically generated in the Defense Civilian Personnel Data System (DCPDS), Performance Appraisal Application Tool

Section IV
Referenced Forms

DA Form 2028
Recommended Changes to Publications and Blank Forms

Appendix B
Guidelines For Appraising Supervisors And Managers On Their Performance In EEO, and Performance as Supervisors/Managers

B-1. Mandatory Critical Element(s) for Supervisors
A supervisor's performance plan shall include at least one leadership critical element. This critical element requires accountability for the effective administration of EEO, and/or other component-specific requirements. Applicable policies for which supervisors will be held accountable include, but are not limited to, those documented in this subchapter and supplemental guidance issued by DoD and/or components as well as those in other laws or regulations.

B-2. A mandatory critical element will hold supervisors accountable for carrying out the responsibilities:

a. Clearly communicating the performance plan and holding employees responsible for accomplishing their critical elements and performance standards;
b. Making meaningful distinctions among employees based on performance and the employee's contributions aligned with the strategic goals and objectives;
c. Fostering and rewarding excellent performance;
d. Addressing poor performance;
e. Assuring that employees are assigned a rating of record as required by this regulation;
f. Adhering to laws and regulations concerning merit system principles and prohibited personnel practices; and
g. Ensuring continuing application of, and compliance with EEO laws, regulations and policy.
h. The supervisory critical element may be but does not have to be combined with the effective administration of EEO critical element.

Appendix C
NGB Form 430

NATIONAL GUARD TECHNICIAN
PERFORMANCE APPRAISAL

The proponent is NGB-J1-TN. The prescribing directive is TPR 430.

EMPLOYEE NAME: _____ APPRAISAL YEAR: _____

PRIVACY ACT STATEMENT

1. AUTHORITY: 5 U.S.C. Section 430, Performance Management

2. PURPOSES: This form will be used for performance planning and results reporting documentation as required for the Performance Appraisal.

3. ROUTINE USES: This form will be used by employees, rating officials, and managers for documentation and communication purposes as required by the Technician Personnel Regulation 430.

INSTRUCTIONS FOR COMPLETION OF ANNUAL PERFORMANCE APPRAISAL

Cover Sheet: Complete the employee's name and the appraisal year.

PART A - Administrative Data.
1. Appraisal Period: Enter the start date and end date for the evaluation period. Typically this is the rating cycle start and end date; however, these dates can vary. Also enter the appraisal effective date usually one day after the close of the rating cycle.
2. Employee Name: Name of the employee (last, first, middle initial).
3. Social Security Number: Enter the last 4 digits of the SSN.
4. Position Title: Enter the title of the employee's position as of the appraisal period start date.
5. Pay Plan/Occupational Series/Grade/Step: Enter the employee's pay plan, occupational series, grade, and step as of the appraisal period start date.
6. Organization: Enter the name of the employee's organization.
7. Adjusted Salary: Enter employee's adjusted salary as of the date this form was generated or the appraisal period end date, whichever is earlier.
8. Duty Station: Enter the duty station where the employee works.
9. PAS Code/UIC: Enter employee's PAS Code or UIC

PART B - Performance Appraisal Documentation.
To be completed by all parties as appropriate to document the establishment of job objectives, interim review, closeout assessment, special purpose and annual assessment as required.

PART C - Performance Rating.
Rating computation based on the job objectives' optional weight, and objective rating. Used to determine the employee's final rating of record.

PART D - Relevant Organizational Mission/Strategic Goals.
Organizational Mission and Strategic Goals as they apply to an employee's performance.

PART E - Job Objectives.
List job objectives by which the employee will be evaluated during the appraisal period. Employees must have at least two ratable job objectives. Also document an employee's and rating official's written assessment of accomplishments for the interim and annual review based on the job objectives rating, and derived rating of record. **This page should be duplicated for each job objective given. Mark (x) the box to indicate type of appraisal. A form must be completed for the interim and annual assessments and closeout assessments when applicable. Complete a Special Purpose Rating when an employee receives an initial rating of record of 1 and has successfully completed a PIP and has brought the performance level to at least level 2.**

NGB 430, 20090309 (EF) (IMT-V1) Cover Sheet

PERFORMANCE APPRAISAL	
PART A – ADMINISTRATIVE DATA	
1. APPRAISAL PERIOD: a. START DATE: b. END DATE: c. APPRAISAL EFFECTIVE DATE:	
2. EMPLOYEE NAME (Last, First, Middle Initial):	3. SOCIAL SECURITY NUMBER (Last 4 digits): XXX-XX
4. POSITION TITLE:	5. PAY PLAN/OCCUPATIONAL SERIES/GRADE/STEP:
6. ORGANIZATION:	7. ADJUSTED SALARY AS OF APPRAISAL PERIOD END DATE:
8. DUTY STATION:	9. PAS CODE OR UIC:

PART B – PERFORMANCE APPRAISAL DOCUMENTATION				
	PERFORMANCE PLAN	INTERIM REVIEW	ANNUAL ASSESSMENT	OTHER ☐ Closeout ☐ Special Purpose
Employee Signature:	Click here to sign	Click here to sign	Click here to sign	Click here to sign
Date: (YYMMDD)				
Rating Official Printed Name:				
Signature:	Click here to sign	Click here to sign	Click here to sign	Click here to sign
Date: (YYMMDD)				
Communication Method (face-to-face, telephone, other)				
Higher Reviewer Printed Name:				
Signature:	Click here to sign	Click here to sign	Click here to sign	Click here to sign
Date: (YYMMDD)				
Plan Date Last Modified:				

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EMPLOYEE NAME: *(Last, First, Middle Initial)* _____ APPRAISAL YEAR: _____

PART C- PERFORMANCE RATING SUMMARY

OBJECTIVE	WEIGHT	OBJECTIVE RATING
1	%	
2	%	
3	%	
4	%	
5	%	
6	%	
7	%	
8	%	
9	%	
10	%	

AVERAGE SCORE

RATING OF RECORD

Note: If Weights are used, the average score is weighted.

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PERFORMANCE APPRAISAL

EMPLOYEE NAME: *(Last, First, Middle Initial)* _____ APPRAISAL YEAR: _____

PART D - RELEVANT ORGANIZATIONAL MISSION / STRATEGIC GOALS

EMPLOYEE NAME: *(Last, First, Middle Initial)* _____ APPRAISAL YEAR: _____

PART E - JOB OBJECTIVES (Duplicate this page for each job objective)

JOB OBJECTIVE NO. TITLE: (Limited to 80 Characters) LAST MODIFIED ON:

JOB OBJECTIVE (Limited to 1,000 Characters)

WEIGHT: % OBJECTIVE RATING:

TYPE OF ASSESSMENT: ☐ OF ☐ INTERIM REVIEW ☐ ANNUAL ASSESSMENT ☐ Closeout ☐ Special Purpose

EMPLOYEE SELF-ASSESSMENT (Limited to 2,000 Characters)

RATING OFFICIAL ASSESSMENT (Limited to 2,000 Characters)

NGB 430, 20090309 (EF) (IMT-V1)

Page 4 of 4
Copy __ of __

Appendix D
Sample Performance Improvement Plan Memorandum

Memorandum for: XXXXX Date: XXXXX

From: XXXXX

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 XX Nov XXXX, and you signed your performance plan on XX Nov XXXX. You were assigned a Level 1 rating of unacceptable which was closed on XX Apr XXXX. The assessment is attached for your review.

2. Specifically, your performance is unacceptable in that you have not met the performance standards for Critical Element 1. The performance deficiencies and the required improvements are listed below:

*Critical Element **1***: Provides supervision for approximately seven employees on effective personnel and performance management. Ensures positive EEO and human relations concepts are applied in personnel activities. Ensures responsible recruitment in consultation with the squadron commander. Supports the EEO Program through positive personal involvement, e.g. complaint resolution, participation in special emphasis programs, community action, interaction with EEO officials, and identification and correction of institutional barriers to equality and opportunity.

Performance Deficiencies: A State Equal Opportunity Office Unit Staff Assistance Visit rated the human relations climate in the section as unsatisfactory. The Civilian Personnel branch was specifically mentioned as one of the problem areas. In my XX Mar XXXX feedback session I charged you to find ways to improve your area and told you some specific improvements you could make. You have not discussed with me any ideas for improvement nor have I seen any change in this area.

Several months ago, you received from a Services Squadron employee a grievance which contained allegations of discrimination and racism. You have taken no action to process this grievance or refer the employee to the EEO Counselor. You did not inform me of this grievance.

Improvement Required: Take steps to improve the human relations climate in your organization. Discuss with me how you plan to improve this climate. Process the grievance immediately or refer to EEO Counselor as appropriate.

Improvement Required: Establish professional, effective working relationships with all your customers. Prepare a written plan on how you are to improve the labor management climate.

3. I have outlined the critical elements of your performance plan for which your performance is now considered unacceptable. I will allow you 90 calendar days from the date of this memorandum to improve your performance to an 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 90 calendar days, I will again evaluate your performance. This evaluation will include all aspects of your performance as outlined in your performance plan. Additionally, your performance must be at least a Level 2 for all critical elements 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 below the Level 2 rating, I will take appropriate administrative action. Such action could include reassignment, demotion, 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
Encls Block

Appendix E
Sample Notice of Written Decision Based onUnacceptable Performance

(OFFICE SYMBOL)

MEMORANDUM FOR

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. For example…

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. The reasons for this action are:

(Refer to 5 CFR Part 430 and TPR 1940.) Give the reason for action. Use all available information in sufficient detail so the technician will understand why the action is being taken.

a. On 1 Oct 20XX, you and I established written critical elements and performance standards for your position. At the time, you acknowledged our discussion of these critical elements and performance standards.

b. On 2 March 20XX, I informed you orally and in writing that your performance regarding critical element number __ pertaining to ___ was below the Level 2 rating because you had failed to (list specific instances of unacceptable performance on which this action is based). On 16 March 20XX, I provided you with specific written instructions on how to improve your performance on this critical element.

c. Despite counseling and on-the-job training, your performance of this critical element continues to be below the Level 2 rating. Therefore, I have initiated this process to change you to a lower grade. You were provided a performance improvement period.

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 Ms. Barnes in the Human Resource Office for procedural guidance at DSN: xxx-xxx or Commercial (xxx) xxx-xxx.

Supervisor's Signature
H. T. Block

(Copy Furnished to Human Resource Office)

_____ _____
Signature) (Date)

Waive/Do not waive 15 day response

Appendix F
Timelines

F-1. Scenario A

a. Technician demonstrates below fully acceptable or unacceptable performance
b. Recommended 30 to 90 days performance improvement plan (PIP). A PIP may be introduced any time, not just at the end of the appraisal period.
c. No improvement or unacceptable level of improvement
d. PIP ends (may be extended at the discretion of the supervisor)
e. Official appraisal rendered citing unacceptable performance
f. Reassignment notice or reduction/removal 30 day notice memorandum issued (this is not a proposed notice, but is considered as a final notice of the action to be taken. This is because before this final step, the technician would have been given adequate assistance and time to improve performance).
g. During the first 15 days of the notice period technician may appeal to the State Review and Appeals Board*
h. Reassignment, reduction or removal may be extended awaiting the final decision of the Appeals Board
i. Appeals Board hears case and makes recommendation on the final appraisal score (not the follow-on personnel action)
j. TAG renders the final decision on the final appraisal score and personnel action
k. A technician has no appeal rights beyond the TAG, unless a grievance is filed and goes to arbitration

*If the technician is a member of a collective bargaining unit with a negotiated grievance procedure covering the challenge of performance ratings, the technician must use the negotiated grievance procedure to challenge the rating.

F-2. Scenario B

a. Performance appraisal issued (with other than an unacceptable or below fully successful rating)
b. Technician may appeal to the State Review and Appeals Board no later than 30 days after issuance of the appraisal*
c. Appeals Board hears case and makes recommendation to TAG on the final appraisal score
d. TAG renders the final decision
e. A technician has no appeal rights beyond the TAG

*If the technician is a member of a collective bargaining unit with a negotiated grievance procedure covering the challenge of performance ratings, the technician must use the negotiated grievance procedure to challenge the rating.

Glossary

Section I
Abbreviations

CFR
Code of Federal Regulations

CNGB
Chief National Guard Bureau

CPM
Civilian Personnel Manual

DoD
Department of Defense

EAP
Employee Assistance Program

EEO
Equal Employment Opportunity

JFHQ-St
Joint Force Headquarters – State

OPM
Office Personnel Management

PIP
Performance Improvement Plan

TAG
The Adjutant General

TPR
Technician Personnel Regulation

USC
United States Code

Section II
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 performance appraisals 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.
The established period of time during which performance will be monitored and assessed. Normally, the standard appraisal period will be October 1 through September 30 each year. Organizations may be subject to an appraisal period other than the standard cycle. Additionally, the Chief, National Guard Bureau (or designee) may designate other periods as dictated by situation or circumstance.

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

Contribution.
A work product, service, output, or result provided or produced by an employee or group of employees that supports the Departmental or organizational mission, goals, or objectives.

Critical Element.
A work assignment or responsibility of such importance that unacceptable performance on the element would result in a determination that an employee's overall performance is unacceptable.

Eligible Employee.
An employee 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 an employee's year-to-date progress on critical elements and performance standards. At least one interim performance review shall be prepared and documented during the 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). The form is designed to allow users with Adobe Reader 6.0 to complete the form electronically and save the text.

Non-Critical Elements
A dimension or aspect of individual, team, or organizational performance, exclusive of a critical element, that is 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 optional and are not used in the National Guard Technician Performance Appraisal Program.

Performance.

The accomplishment of work assignments or responsibilities.

Performance Appraisal Application 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 Appraisal Program.
The policies and requirements for setting and communicating employee 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 and non-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 representative of management, usually the immediate supervisor, who is approved by the agency to evaluate and assess employee 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.
An employee'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 an employee 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.