

Performance Management, Awards, Training, and Development

Performance Management

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Applicability. California National Guard Full-time Personnel Regulation (CNGFPR) applies to all California Army and California Air National Guard technicians plus commanders, managers, and supervisors (military or civilian) with authority over technician personnel management.

Proponent and Exception Authority. The proponent of this regulation is the Joint Force Headquarters, J1, Directorate for Human Resources. The proponent has authority to approve exceptions to this regulation when they are consistent with controlling laws and regulation.

Supplementation. Supplementation of this regulation is prohibited.

Suggested Improvements. Users of this regulation are invited to send comments and suggestions to Joint Force Headquarters, Directorate for Human Resources, 9800 Goethe Road (Box 37), Sacramento, CA 95826-9101.

Distribution. Distribution of the regulation is Army - A and Air Force - F.

History. None

Summary. This regulation provides guidance for the five-tier Technician Performance Appraisal Program (TPAP) procedure for California National Guard (CNG) technicians. This regulation replaces the earlier version, dated 15 October 2007. This regulation also replaces CAL NG Form 430, dated Dec 98, and all Technician AGR Administrative Instruction (TAAI) concerning this subject

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1. Purpose.

This regulation establishes a Performance Management System for CNG technicians and contains general guidance to be used by managers, supervisors, and technicians. The Technician Performance Appraisal Program (TPAP) is a five-tier system that makes distinctions in levels of employee performance.

2. References.

- a. 5 CFR Parts 430, 432, 451, and 531
- b. National Guard Technician Act of 1968 PL 90-486 (32 USC 709)
- c. Office of Personnel Management (OPM) regulations
- d. TPR 430

3. Objectives.

The TPAP’s objective is to provide a meaningful, efficient method for evaluation of individual and organizational performance. Supervisors and managers will ensure technicians clearly understand their critical elements and guarantee that a technician’s performance is rated in a timely manner.

4. Responsibilities.

The Adjutant General is responsible for ensuring that all aspects of the TPAP are within guidelines of the Code of Federal Regulations (CFR), Office of Personnel Management (OPM), Department of Defense (DOD), and National Guard Bureau (NGB). The Adjutant General has delegated responsibility to manage the program to the Directorate for Human Resources (HRO).

5. Five-tier.

The TPAP has five levels of performance: Unacceptable (Level 1), Marginal (Level 2), Fully Successful (Level 3), Excellent (Level 4), and Outstanding (Level 5). The TPAP is used for all permanent, probationary, and indefinite Dual Status and Non-Dual Status technicians. Temporary technicians do not receive appraisals. At the beginning of the rating cycle, supervisors must set performance expectations. Supervisors will monitor performance, conduct at least one formal interim review, and address performance deficiencies. Appraisals are completed using the Performance Appraisal Application (PAA) in My Biz/My Workplace. Appraisals will close out on 30 June every year.

6. Setting Performance Expectations.

- a. Critical Elements will consist of the following:
 - (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 technicians.
 - (3) Competencies that technicians are expected to demonstrate on the job and/or the contribution they are expected to make.
 - (4) 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 completed assignments or some combination of such characteristics. Such assignments and instructions need not be in writing.
- b. SMART stands for Specific, Measurable, Aligned, Realistic/Relevant, and Timed. It is a framework for developing and evaluating critical elements.
 - (1) S – Specific: Critical elements are crafted to bring out the best in individual and team performance.
 - (2) M – Measurable (or observable or verifiable): A method or procedure must exist to assess and record the quality of the outcomes.

(3) A – Aligned: Drawing a line of sight between critical elements throughout the organization so that everyone is working toward the same goal.

(4) R – Realistic: The critical element is achievable with resources and personnel available within the allotted time.

(5) T – Timed: Sets limits on when the critical element will start or when it will be completed.

c. Communicating Performance Expectations.

(1) Performance expectations will be communicated to technicians in writing prior to holding them accountable.

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

(a) Critical element(s) appropriate for the grade to which employees are assigned and how they relate to organizational mission and goals.

(b) Weight of each objective, if applicable.

d. Performance Plans.

(1) All eligible technicians will be issued a performance plan containing their critical elements.

(2) Performance plans will be in place and communicated to technicians within 15 calendar days from the start of the rating cycle, entrance on duty of a new technician, or technician job change. The 15-day requirement may be extended, upon approval of HRO-ER, up to an additional 30 calendar days. Such extensions will not impact or delay issuance of a yearly appraisal.

(3) Performance plans are subject to higher-level review to ensure consistency and fairness within and across organizations. Performance plans are considered to be approved after higher-level review and supervisors have conveyed the plans to technicians in writing. In addition to using NGB Form 904-1, supervisors will utilize the PAA in My Workplace to record technicians' receipts of performance plans and the manner (in person, via telephone, etc) in which they were provided.

e. Critical Elements.

(1) Performance expectations in the form of critical elements will be described in the performance plans for all eligible technicians. Supervisors are encouraged to involve technicians in the development of their critical elements. Normally, this process will include at least one face-to-face discussion between supervisors and technicians. Final decisions regarding performance expectations, including critical elements, are under exclusive discretion of management.

(2) All eligible technicians will be assigned three and typically no more than five critical elements. These critical elements will be commensurate with the position description, duties, responsibilities, and salaries. Supervisors and managers will have a minimum of four critical elements in which one will be the mandatory critical element identified below at paragraph e. (5).

(3) Optional: Critical elements may be weighted to reflect relative priority, contribution to mission, complexity, importance, etc. Weighting critical elements enables supervisors and employees to identify and focus on the most important expectations for the rating period. No critical element will be weighted less than 10 percent. Weighted critical elements must total 100 percent. If critical elements are not weighted they are considered equal. If a supervisor's critical elements are weighted, the mandatory critical element must be weighted at a minimum of 25%.

(4) When new critical elements are assigned (e.g. due to a job change, additional duties, promotion, etc.) critical elements must address that portion of a major performance expectation which can be accomplished within the time remaining in the appraisal period. Critical elements may not be added or changed 90 days prior to the end of the appraisal period.

(5) A supervisor's performance plan will include the following mandatory critical element: "Execute a range of human resource responsibilities in accordance with applicable regulations. Develop a vision for the work unit. Align performance expectations with organizational goals. Adhere to merit system principles. Ensure EEO principle compliance throughout the work unit. Promptly address discrimination, harassment & retaliation allegations. Ensure continuing application of laws, regulations & policies governing prohibited personnel practices. Consider & act on accommodation requests. Maintain a safe, positive, and violence free work environment. Quickly address performance deficiencies & misconduct. Ensure mandatory training completion by assigned personnel. Follow labor union contract provisions, as applicable. Seek early dispute resolution. No substantiated violation of prohibited personnel practice(s) or unfair labor practice(s). Technician performance plans are completed within established timelines at least 75% of the time."

f. Adjustment of Expectations During the Appraisal Period.

Performance expectations should be reviewed regularly. When adjusting performance expectations, supervisors and technicians must follow the requirements for planning, imparting, monitoring, and assessing expectations.

7. Monitoring Performance.

a. While monitoring technician performance, supervisors are expected to do the following:

- (1) Engage in dialogue with technicians concerning performance.
- (2) Conduct one or more documented interim reviews with each technician.
- (3) Maintain performance information.
- (4) Update critical elements.
- (5) Anticipate and address performance deficiencies.
- (6) Reinforce effective behavior.

b. Monitoring performance enables supervisors to identify, address, and resolve performance deficiencies during the appraisal cycle. A Level 1 (Unacceptable) rating of record need not be formally assigned to technicians in addressing 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) Technicians may request periodic feedback and dialogue regarding their own performance. To the most practical extent, supervisors will accommodate such requests.

d. Technicians on Temporary Assignment/Promotion.

(1) Policies established for setting performance expectations will be applied to the extent practical. Generally, technicians on a short-term detail, temporary reassignment, or temporary promotion during an appraisal period will be assigned an annual rating of record by the supervisor of the permanent position.

(2) During the temporary assignment, technicians, gaining supervisors and supervisors of permanent positions will jointly review the necessity to adjust previously assigned critical elements.

(3) Supervisors of permanent positions have final authority to determine and document appropriate critical elements. Both supervisors will coordinate efforts to ensure that technicians are provided meaningful feedback during temporary assignments or temporary promotions and are issued at least one documented interim review.

(4) A closeout assessment will be completed by temporary supervisors for technicians who have been assigned to them for at least 30 calendar days.

(5) In the case of long-term details, temporary reassignments or promotions, it may be more appropriate for temporary (gaining) supervisors to prepare the annual rating of record.

e. Interim Reviews.

(1) While ongoing informal dialogue and feedback are essential throughout the rating cycle, one or more formal interim performance reviews will be conducted between supervisors and technicians. At least one interim performance review will be prepared and documented during the appraisal period.

(2) 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.

(3) The interim review will be in place and communicated to technicians within 15 calendar days from the start of the sixth month.

(4) A formal interim review will acknowledge achievements, suggest areas for improvement, and provide meaningful dialogue. Developmental suggestions also may be provided.

(5) Technicians will be provided a copy of the interim review. Supervisors will record technicians' receipt of interim reviews and manner in which the reviews were communicated, utilizing the PAA in My Workplace, in addition to NGB Form 904-1.

(6) Normally, immediate supervisors will accomplish interim reviews. To the most practical extent, if immediate supervisors are unable to accomplish interim reviews, they will provide meaningful input to managers responsible for accomplishing the reviews.

8. Developing Performance.

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

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

9. Addressing Performance Deficiencies.

a. Managers and supervisors are required to provide proactive assistance to non-probationary technicians performing at or below the Level 2 (Marginal) rating. During the appraisal period which performance is determined to be at or below the Level 2 (Marginal) rating in one or more critical elements, assistance may be provided at any time. This performance management system also provides for reassignment, change to lower grade, or removal of technicians who continue to have unacceptable performance but only after the Performance Improvement Plan (PIP) process is completed. This performance management system shall also provide for review and approval of Level 1 (Unacceptable) ratings by a higher-level management official.

b. 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 PIP, normally 30/60/90 days, if performance remains below the Level 2 (Marginal) rating in any critical elements despite reasonable informal efforts to assist them.

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

d. When a PIP is issued, consideration may also be given to Employee Assistance Program (EAP) referral. Participation in the EAP is voluntary or involuntary.

e. If technicians' performances in any critical elements continue to be below the Level 2 (Marginal) rating despite efforts by supervisors or managers to improve performance after the PIP, technicians will be advised that they will be reassigned, reduced in grade, or removed from employment.

f. Before initiating actions to reduce grade or remove technicians 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; technicians have been given a copy of the plan plus an opportunity to improve.

g. See CNG FPR 431 for further guidance on PIP procedures.

10. Performance Assessments.

a. An integral part of the performance management process is the supervisory assessment of performance relative to critical elements. The written assessment captures technicians' 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 for the appraisal period.

b. Technician Self-Assessment.

(1) Technicians are encouraged to provide self-assessments using the PAA for each critical element covering their performance and offer contributions to the organization for the current appraisal period. Technician self-assessments should describe accomplishments relative to performance expectations, including critical elements; organizational mission and goals; and team goals. Input will assist rating officials in evaluating technicians' performance results. While entirely voluntary, it is recommended that technicians complete the self-assessment narrative. Technicians' perspective will better inform raters of performance and contribution, thereby possibly impacting the recommended rating.

(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 Assessment of Technicians.

(1) Supervisors will provide narrative assessments using the PAA to address each critical element describing technicians' accomplishments and contributions to the organization, relative to their performance expectations, including an assessment of each critical element.

(2) The assessment and rating will be in place and communicated to technicians within 15 calendar days from the end of the appraisal period.

(3) If supervisors (or rating officials, if different) have limited knowledge of technicians' performances, care should be taken to gather applicable facts (e.g. work products, closeout assessments, productivity metrics, customer feedback) to substantiate record ratings.

(4) Any time after technicians have completed the minimum period and the supervisor-technician reporting relationship/assignment changes, supervisors will provide closeout assessments.

(5) If technicians have not met the minimum periods of performance by the end of the standard appraisal period, management has discretion to extend appraisal periods with HRO-ER approval.

11. Rating Performance.

a. The method of assessing a technician's performance involves assigning a rating to individual critical elements then averaging scores to arrive at the final rating of record. Each step 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.

(1) Each critical element is evaluated based on accomplishments relative to the technicians' stated critical elements for their grade. The rating officials will assign a critical element rating level (1 to 5) to each critical element.

(a) Based on technicians' accomplishments regarding each critical element, supervisors will assign a rating (a single numerical score from 1 to 5, expressed as a whole number) to each critical element.

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

(c) The result of this process is recorded as the critical elements rating. An objective rating of 1 on any individual critical elements results in an overall Level 1 (Unacceptable) rating of record. A PIP is required before a Level 1 (Unacceptable) rating is given.

(d) If critical elements are weighted, the weights are applied to the adjusted rating. Weighted scores will be added together to obtain the overall average score. If a Level 1 (Unacceptable) has been assigned to any critical element, the overall rating of record will be a Level 1 (Unacceptable), regardless of scoring or weighting on any other critical element.

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

CRITICAL ELEMENT RATING	DESCRIPTORS: The following definitions apply to the summary or overall performance appraisal rating.
5 - Outstanding	Outstanding performance in one or more critical element(s) and excellent performance for all other critical elements.
4 - Excellent	Excellent performance in one or more critical element(s) and fully successful performance for all other critical elements.
3 - Fully Successful	Fully successful performance for all critical elements.
2 - Marginal	Below fully successful performance for one or more critical element(s) but at least marginal performance for all critical elements.
1 - Unacceptable	Fails to meet at least marginal performance standard in one or more critical elements.
Not Rated	Employee did not have opportunity to perform critical elements, because it became obsolete or could not be accomplished due to extenuating circumstances.

d. Features of the five-tier system.

(1) Unacceptable ratings (Level 1) require a PIP failure and justification to be approved at the next higher level. Documentation must be provided. A PIP is required before a Level 1 (Unacceptable) rating is given. For more information on the PIP process, reference CNGFPR 431.

(2) Marginal ratings (Level 2) must be supported with justification as to why the employee is below a Fully Successful level of performance.

(3) A rating of Fully Successful or above (Levels 3-5) must be supported with justification for the level of performance.

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

e. The overall rating of record is expressed to technicians in the form of a rounded score on a scale from Level 1 (Unacceptable) to Level 5 (Outstanding) following the methodology outlined below:

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

12. Dual Status Trial Periods/Non-Dual Status Probationary Periods.

a. New technicians will be carefully observed and appraised during trial/probationary periods to determine whether they have the qualities required for permanent government service. During this time, supervisors will provide specific training and assistance to improve technicians’ work performances, if required. For retention beyond trial/probationary periods, technicians’ work performances must be minimally at the critical element rating Level 3 (Fully Successful). A Level 3 (Fully Successful) rating is assigned when employees have satisfactorily met the critical element.

b. Recommend Retention. Immediate supervisors will conduct counseling sessions with technicians and annotate the NGB Form 904-1. Technician serving trial/probationary periods will not be given official performance appraisals until after completing the required 12 months of Federal service. After completing 12 months of service, technicians will be given an official performance rating.

c. Not Recommend Retention.

(1) Removal actions can be initiated anytime during trial/probationary periods. Supervisors will forward a SF-52, Request for Personnel Action, with justification and supporting documentation to the Directorate for Human Resources initiating removal. It is HRO policy that employees receive 30-day written notice prior to termination. On a rare, case by case basis, and with coordination through HRO, exceptions to the 30-day notice may be made in accordance with USC 709(f)(5).

(2) Immediate supervisors will conduct counseling sessions with technicians and annotate the NGB Form 904-1. Since evaluations are not considered official appraisals for the purpose of appeal rights, no appeal rights are applicable in the first year of employment.

13. Supervisory Probationary Periods.

All employees hired or placed into positions titled “supervisor or supervisory” must serve a one-year supervisory probationary period. The purpose of supervisory probations is to insure that employees are effective in the performance of supervisory duties (including but not limited to appraising, awarding, and disciplining employees; EEO; and assigning work). Supervisory probationary periods are effective upon appointment to supervisory positions for the remaining 12 months. Supervisors who fail to successfully complete supervisory probationary periods will be returned to the same or similar position held, whichever is available.

14. Postponement of 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 technicians’ performances in their present assignments because of the following:

a. Supervisors or technicians are newly assigned (less than 90 calendar days).

b. Technicians have not been performing regularly assigned work because of extended details or absences.

c. Technicians have not worked under performance plans for at least 90 calendar days. Postponements should not be extended any longer than necessary to permit 90 calendar days under performance plans.

d. Employees who are absent at the end of appraisal periods due to a work-related injury. Eligible employees who are still on agency rolls at the end of appraisal periods but who are absent due to a work related injury will be rated based on work performed during the appraisal period, provided they have satisfied the minimum 90 calendar day performance period.

15. Detailed Technicians.

When technicians have been officially detailed to positions either to the same or different supervisor for a period expecting to cover 90 calendar days or more, closeout appraisals and new critical elements will be established.

16. LWOP-US Technicians.

Technicians placed in LWOP status while performing military duty will have the last rating of record used for all official purposes until they return and are observed for at least 90 calendar days under an approved performance plan.

17. Special Purpose Ratings.

The special purpose rating may only be applied when technicians with Level 1 (Unacceptable) ratings of record exhibit significant and sustained improvement (not less than 30 calendar days) in their performances that equates to Level 2 (Marginal) performance or higher. A special purpose rating of record may be assigned during appraisal periods in addition to the regularly completed rating of record.

18. Change of Raters.

a. Supervisors will complete the NGB Form 430 using the PAA, giving a brief narrative description of employee accomplishments and contributions during current appraisal periods when it is known that supervisors will cease to exercise duties related to monitoring, developing, and rating technician performances (due to job change, extended absence requirement, etc.). This condition may result from supervisors or technicians changing jobs.

b. Supervisors will prepare closeout assessments for technicians when it is known that employees will change positions, resulting in a new supervisor. Additionally, supervisors will prepare closeout assessments, as required, for technicians on details or other previously occupied positions, as input for employees' ratings of record.

c. A closeout assessment is only required if technicians have been assigned to a specific supervisor and has been on approved performance plans for more than 90 calendar days.

d. Closeout assessments will be accomplished within 10 calendar days after supervisors cease to exercise duties related to monitoring, developing, and rating technicians performances and will be considered by appropriate rating officials when determining annual ratings of record.

e. Closeout assessment for technicians that were prepared during the most recent appraisal period will be available for review by the following:

- (1) The technician.
- (2) The technician's supervisor or rater, if different.
- (3) Responsible reviewing official.

19. Appeal of Performance Ratings.

a. Final Appellate Authority.

(1) 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 appellate 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.

b. Establishment of a Review and Appeals Board.

(1) The 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. 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.

c. State Review and Appeals Board.

(1) 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.

d. Filing an Appeal.

(1) 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. 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.

e. Appeal Processing.

(1) 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

(2) 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.

f. Board Procedures.

(1) 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.

20. Definitions.

a. Appraisal: Process by which technicians are informed on how their performance compares against established performance standards, resulting in final performance appraisals at the end of established appraisal periods.

b. Appraisal Period: The appraisal period cycle will closeout 30 June each year.

c. Closeout Assessment: A narrative description of an eligible employee's performance under an approved performance plan. The closeout assessment is completed by supervisors or rating officials and conveys information regarding the employee's progress toward completion of critical elements. A closeout assessment is not a rating of record but should be used to inform rating officials of employee accomplishments and/or needed improvement.

d. Critical Element: An expression of performance expectations in the performance plan that are linked to an organization's goal(s) and mission(s). Critical elements are used to communicate major individual, team, and organizational responsibilities; contributions; and related outcomes expected during appraisal periods.

- e. Higher Level Reviewer: Supervisor in a technician's chain of command who is at a higher level than the rating official.
- f. Interim Review: A discussion among rating officials and technicians should be held six months into the report period to review their progress toward achieving critical elements, make any necessary revisions, and consider any developmental needs or required performance improvements.
- g. Minimum Period of Performance: Employees performing under an approved performance plan for 90 calendar days during the current appraisal period. Temporary technicians do not receive performance appraisals. Indefinite technicians receive performance appraisals if they are expected to be employed for more than 90 calendar days and are still employed at the end of an appraisal period.
- h. Performance Appraisal Application Tool: Web-based tool that supports performance planning and appraisal process, now accessible via My Biz or My Workplace in the Defense Civilian Personnel Data System.
- i. Performance Plan: All written or otherwise recorded performance elements that set forth expected performance. A plan must include all critical elements and their performance standards.
- j. Performance Standard: A management-approved expression of 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.
- k. Rating Official: Supervisor responsible for technician's performance, establishing critical elements, counseling on critical elements, and appraising technician based on pre-established mutually understood critical elements.
- l. Self-Assessment: Employees' narrative descriptions of their year-to-date accomplishments related to his/her critical elements. Self-assessments are optional and serve as a means by which employees are 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.
- m. Unacceptable Performance: Performance of technicians who fail to meet established expectations in one or more critical elements.