

**AGOH SUPPLEMENT 1
TECHNICIAN PERSONNEL MANUAL
NO. 430**

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**AGOH SUPPLEMENT 1
TECHNICIAN PERSONNEL MANUAL 430**

OHIO NATIONAL GUARD TECHNICIAN PERFORMANCE APPRAISAL SYSTEM

This manual contains the regulatory requirements of the National Guard Technician Performance Appraisal System as modified by the Ohio National Guard Labor-Management Partnership. Although this manual is meant to be a supplement to NGB TPM 430, it is designed to be used as a stand-alone document. It contains general guidance to be used by managers and supervisors as an aid in appraising technician performance.

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PART I. GENERAL

A. Coverage and Scope. This manual establishes the performance appraisal system for all Ohio National Guard technicians employed under the provisions of 32 U.S.C. 709 and is consistent with the requirements of the Civil Service Reform Act (CSRA) of 1978 and Part 430 of the Office of Personnel Management (OPM) Regulations. Parts I through V of this manual are mandatory requirements. Appendixes A through C contain general guidance to be used by managers and supervisors to aid them in adequately appraising a technician's performance.

B. Basic Requirements. This manual requires that:

1. Written performance standards and critical job elements be established for all positions.
2. Technicians be informed of their performance standards and critical job elements at the beginning and during each appraisal period.
3. Technicians be periodically provided feedback throughout the appraisal period on how well they are progressing compared against the established performance standards. All counseling sessions will be recorded on the NGB Form 904-1.
4. The results of the performance appraisal be used as the basis for training, rewarding, reassigning, within grade and step increases, promoting, reducing in grade, removing, and as a basis for assisting technicians in improving unacceptable performance.
5. Actions to reassign, reduce in grade, or remove based on unacceptable performance be taken only after the technician has been given a prior thirty day notice.
6. No predetermined statistical distributions be used that would prevent a fair appraisal based on established performance standards.
7. A State review and appeals board be established to review and resolve disagreements over assigned appraisals.

C. Definitions.

1. Appraisal. The continuing process by which the technician is kept informed of how his/her performance compares against established performance standards and results in a final performance appraisal at the end of the appraisal period.
2. Appraisal Period. The period of time, normally one year, but not less than 120 days, for which the technician's performance will be appraised. Annual appraisal periods will end on the last day of the technician's birth month.
3. Appraiser. The individual most responsible for the technician's performance, for establishing performance standards, for counseling the technician on the critical elements of the job, and for appraising the technician based on pre-established, mutually understood performance standards-the technician's immediate supervisor.
4. Critical Job Element. All elements listed in a performance plan will be considered critical.
5. Overall Performance Appraisal. The appraisal assigned at the end of the appraisal period that describes the overall performance level of the technician based on performance of each individual job element.

6. Performance Standard. A description of the level of achievement, using manners of performance standards, necessary for fully acceptable performance of the duties and responsibilities of the position. Standards for all technicians will be established at each of five appraisal levels.

7. Reviewer. An individual in the technician's chain of command who is the appraiser's immediate supervisor. For appraisals of fully acceptable, the reviewer is also considered to be the approving official.

8. Unacceptable Performance. Performance of a technician that fails to meet at least marginally acceptable performance standards in one or more critical elements of that technician's position.

10. Official Personnel File. File owned by the Office of Personnel Management and maintained by the HRO on each employee as required by Part 293 of the Code of Federal Regulations. These records contain reports of selection and other personnel actions named in section 2951 of title 5, United States Code. The folder contains long-term records affecting the employee's status and service as required by OPM's instructions and as designated in the Guide to Personnel Recordkeeping.

11. Employee Performance File (EPF). A file maintained by the HRO containing performance related documents and serves as an official historical record of performance. This file is consolidated with the technician's OPF when the technician separates or transfers to another agency.

12. Supervisor's Work Folder (SWF). A file maintained by the first level supervisor that contains documents to assist in tracking performance, recording recognition, achievement, and training, and for annotating occurrences in the work place needed to correct conduct deficiencies. This file contains the NGB Form 904-1, Supervisor's Record of Technician Employment, and holds historical and current information on a technician as far as personnel actions are concerned.

D. Responsibilities.

1. Chief, National Guard Bureau. The Office of Human Resources (NGB-HR) is responsible for the overall administration, improvement, and evaluation of his appraisal system. NGB-HR may require corrective action in those cases when any aspect of a State's performance appraisal system is not in conformance with the requirements of this manual, the CSRA of 1978, or part 430 of the OPM Regulations.

2. Adjutants General. The adjutant general is responsible for:

a. Establishing responsibilities within Ohio for the proper administration and operation of the appraisal system.

b. Insuring that all managers and supervisors are adequately trained in all aspects of the performance evaluation under this system.

c. Establishing a state review and appeals board to review and resolve complaints about the assigned appraisals.

d. Insuring that when appropriate managers and supervisors are appraised on their performance in furthering equal opportunity goals and objectives.

e. Insuring that performance appraisals do not conform to any predetermined statistical distribution or other arbitrary controls that would prevent a fair evaluation of a technician's performance.

f. Insuring that written performance standards are established for all technician positions including those serving in a trial/probationary period status.

3. Human Resource Office (HRO). The HRO is responsible for:

- a. Administering the appraisal system within Ohio.
- b. Providing advice and assistance to supervisors and managers during the appraisal process.
- c. Developing and conducting training necessary to insure that all technicians (and non-technicians involved in the appraisal process) are adequately trained in performance appraisal under this system.
- d. Notifying supervisors and managers of the due dates for technician performance appraisals.
- e. Reviewing completed appraisals for timeliness, completeness, and conformance with the requirements of this system.
- f. Designating a HRO staff member (excluding clerical staff) to be responsible for the appraisal system.
- g. Keeping necessary records, evaluating the effectiveness of the program at the State level, and bringing to the attention of the Adjutant General those areas needing refinement or improvement.
- h. Insuring that necessary personnel actions or decisions based on the performance evaluation are carried out.

4. Supervisors. (Appraisers) will:

- a. In cooperation with their subordinate technicians, establish written performance standards and critical job elements for each position. These standards and critical job elements must be consistent with the duties and responsibilities covered in the technician's position description. A copy of the established standards and critical job elements will be provided to the technician and the HRO
- b. Personally inform technicians of the level of performance required to achieve each of the 5 appraisal levels.
- c. Quarterly counseling sessions are strongly encouraged.
- d. Give guidance and assistance to each technician as necessary on how performance can be improved.
- e. Assign an overall performance appraisal in accordance with established standards and requirements.
- f. Coordinate the annual performance appraisal with the reviewer before discussion with the technician.
- g. Forward completed performance appraisals to the HRO to arrive NLT 30 days after the close-out of the appraisal period.

5. Reviewers. Responsible for:

- a. Reviewing overall performance appraisals and insuring that they are accurate, fair, meaningful, and complete.
- b. Participating with subordinate supervisors and technicians to resolve any disagreements over critical elements, performance standards, or the technician's performance appraisal.

6. Technicians. Technicians are responsible for:

- a. Participating in the development of performance standards and critical job elements.
- b. Advising their supervisors of the need, if necessary, to revise performance standards and critical elements during the appraisal period.
- c. Requesting clarification of any element of the job or performance standard not clearly understood.
- d. Identifying work problems and cooperating with the supervisor in resolving any problems, advising the supervisor on special factors and circumstances that should be considered in the appraisal process, and discussing objectives for improving job performance.
- e. Participating actively with the supervisor during discussions of performance throughout the appraisal period.

PART II. THE APPRAISAL PROCESS

A. Performance Planning. At the beginning of the appraisal period, each supervisor will, with technician participation, identify critical job element(s) and manner of performance standards. Although technicians may participate in this process, final determinations will be made by the immediate supervisor with the concurrence of the reviewer. Critical job elements and expected performance standards will be recorded on AGOH Form 430-E-(T). They should be updated to reflect significant changes in a position at anytime during the appraisal period, and as any changes occur.

1. Identification of Critical Job Elements. Identification of job elements is accomplished through an analysis of the duties and responsibilities of each technician's job. Organizational goals and objectives are first identified. Then, the major duties and responsibilities, including important project assignments that contribute to those goals and objectives and for which the technician will be held responsible, are later specified. Sources of information that may be useful in identifying job elements are: job descriptions, mission and functional statements, inspection reports, and locally developed performance requirements. As a minimum, the official position description will be used. Job elements may be added, deleted, or changed in consultation with the subordinate technician during the appraisal period. Critical Job Elements are listed in Block 5 of AGOH 430-E-(T).

2. Assign Element Value. Each job element will be rated on its own merit, as to its critical nature, and how it relates to the technician's performance plan. The most critical element(s) will be assigned the weighted value of 3, the lower weighted element(s) the value of 2 or 1, with 1 being the least critical. The element value assigned each element will be entered in block 6.

3. Including the Task/Duty Statements. Once critical job elements have been identified, task/duty statements may optionally be listed underneath the associated job element in block 5 of AGOH 430-E-(T).

4. Establishing Expected Performance Standards. After establishing job elements, expected performance standards for each job element will be developed using the manner of performance method. The standards will be listed in block 7 and should describe what a technician must do to be appraised at the "fully acceptable" level of performance. Standards will further be identified to show what will be required to achieve higher levels of performance, as well as what constitutes marginal or unsatisfactory levels of performance. To attain this objective, performance standards need to be consistent with the grade level and duties of the position (See Appendix A)

B. Requirements for Supervisors and Managers. Critical elements and performance standards for supervisors and managers should reflect organizational as well as individual duties and responsibilities. Furthering the Equal Employment Opportunity (EEO) will be identified as a critical element for all technicians who are responsible for appraising the performance of one or more technicians. See appendix B for guidelines on appraising performance in EEO.

C. The Performance Appraisal. At the end of the appraisal period, the supervisor will review the technician's performance in relation to the established manner of performance standards and assign a performance level rating for each individual element. Adjective performance level ratings of Outstanding, Excellent, Fully Acceptable, Marginally Acceptable, and Unsatisfactory will be used. The rating for each job element will be determined by compliance with the stated manners of performance in the performance plan.

1. After the adjective rating for each job element is determined, a numerical value will be assigned to each element rating as follows: Outstanding = 5 points, Excellent = 4, Fully Acceptable = 3, Marginally Acceptable = 2, and Unacceptable = 1.

2. Using AGOH Form 430-2-R, Rating Worksheet, multiply the "weighted element value" X the element rating value for each element. The sum of the "total element values" will then be divided by the sum of the "weighted element values". The numerical result will then be used to determine the overall appraisal rating, rounding results up to the next highest tenth.

The following scale will be used in translating the final overall rating:

Outstanding: 4.5 - 5.0
Excellent: 3.5 - 4.4
Fully Acceptable: 2.5 - 3.4
Marginally Acceptable: 2.0 - 2.4
Unacceptable: 1.9 (See Note)

Note: An unacceptable rating in any critical job element will result in an automatic overall unacceptable appraisal rating and remedial action will be required (See Part IV).

D. Trial/Probationary Period Appraisals. New technicians must be carefully observed and appraised during the trial/probationary period to determine whether they have the qualities needed for permanent Government service. During this period, supervisors should provide specific training and assistance to improve the technician's work performance, if needed. Supervisors of technicians serving a trial/probationary period must, no earlier than the beginning of the 9th month or no later than the end of the 10th month of such a period, submit through supervisory channels to the HRO a signed AGOH Form 430-1(T). This evaluation is not considered an official performance appraisal for the purpose of appeal rights. The purpose of this evaluation is to determine whether the technician has the qualities needed for permanent Government service. The immediate supervisor will check block 10 on the AGOH Form 430-1-E-(T) certifying whether the technician is to be retained or not retained. For retention beyond the trial/probationary period, this evaluation must be at least "fully acceptable". If retention is not recommended, the HRO will then take the appropriate action to remove the technician from Federal service. No portion of this paragraph is to be interpreted as preventing or discouraging the initiation of a removal action at anytime during this trial/probationary period. A technician serving a trial/probationary period will not be given an official performance appraisal until after completing the required 12 months of Federal service. After completing the 12 months of service, he/she would then be given an official performance appraisal in accordance with the established appraisal period.

E. Performance Appraisal While on Detail. When a technician has been officially detailed to another position, either with the same or to a different supervisor, for a period covering 60 to 120 days, written performance standards and critical job elements will be established for this position, and the technician's performance while on the detail will be appraised. This additional appraisal will be considered, but may not raise or lower the overall performance appraisal. For details of longer periods, the additional appraisals will be given equal weight in determining the overall appraisal. AGOH Form 430-1-E-(T) will be used to record this appraisal.

F. Postponement of Annual Performance Appraisals. Annual performance appraisals may be postponed, normally for not more than 90 days, in circumstances when the immediate supervisor has not had enough time to observe the technician's performance in his/her present assignment because: (1) the supervisor or technician is newly assigned; (2) the technician has not been performing the regularly assigned work because of extended details or absences; (3) rewritten standards and elements. This 90 day postponement may be extended if circumstances warrant.

G. Records. Official performance records are available for review by the technician concerned. These include, but are not limited to, performance standards, appraisals, certifications in connection with: within grade increases, incentive awards determinations, trial/probationary period certification, and other related personnel management documents. Any document that is used in support of a performance appraisal will be maintained by the supervisor and kept in the technician's supervisor work folder (SWF). During the processing phases of performance appraisals, only the individuals directly in the technician's chain-of-command and those with an official need to know in the performance of the assigned duties will be permitted to review performance appraisals. This applies even after the final action has been accomplished.

H. Evaluating the Effectiveness of the Appraisal System. The records and information outlined in paragraph G will be used to monitor the effectiveness of the State's appraisal system. The HRO is responsible for evaluating appraisal results to insure that the system is being implemented in accordance with this manual. Evaluation should include but is not limited to: (1) timeliness and completeness of appraisals; (2) proper use of critical elements and

performance standards; (3) insuring that appraisals are valid and not required to conform to any predetermined statistical distribution; and (4) insuring that recommended personnel actions are consistent with the overall appraisal assigned. This data will be used as necessary to refine and improve the State performance appraisals system. In addition, suggestions for improving this system should be brought to the attention of NGB-HR. A statistical or narrative analysis of the State performance appraisal system may be requested anytime by NGB, or other organizations.

PART III. PERSONNEL DECISIONS BASED ON PERFORMANCE APPRAISALS

A. General. Appropriate consideration must be given to technician performance appraisals when making certain personnel decisions. At the end of the appraisal period (or at anytime during the appraisal period) the appraiser will make recommendations involving the personnel actions or decisions listed in B through F below. The recommendations are subject to review by the next higher level supervisor and the approving official.

B. Within-Grade and Step Increases. To be eligible for a within-grade increase (GS technicians) or a step increase (FWS technicians) overall performance must be at the "fully acceptable" level or higher.

C. Rewards. Technicians demonstrating an overall level of performance that exceeds the fully acceptable level, may be recommended for monetary or honorary awards under the technician incentive awards program.

D. Reassigning, Reducing in Grade, or Removing. (See Part IV)

E. Training. The performance evaluation process, including on-going discussions between the supervisor and the technician, may result in the identification of specific training needs. Recommendations for training should not be limited to the less than fully acceptable performer, but to help any technician achieve a higher level of job performance and proficiency. Thus, recommended training may be remedial or developmental in nature.

F. Trial/Probationary Period Completion. Information gained during the appraisal process will provide the necessary information to assist the supervisor in deciding whether or not to retain a technician beyond the trial/probationary period. A decision to terminate a technician during the trial/probationary period may be made at anytime. See II D.

PART IV. UNACCEPTABLE PERFORMANCE

A. Actions Based on Unacceptable Performance. Technicians will be periodically reminded of the critical job elements and expected performance standards for their positions, and will be informed when their performance is unacceptable in any element of their job. Technicians will be assisted in improving areas of unacceptable performance by counseling, increased supervisory assistance, additional training, etc. If, however, the technician's performance in any element continues to be unacceptable despite the efforts of management to improve performance, the technician must either be reduced in grade (demoted) or removed from employment.

Before initiating an action to reduce in grade or remove a technician based upon unacceptable performance, consideration should be given to reassignment to another position for which the supervisor feels the technician is qualified or in placing the technician in a closely supervised Performance Improvement Period (PIP). This PIP will normally be for a period of not less than 30 but not more than 90 days. It will consist of the supervisor identifying in writing the identified performance deficiencies of the technician and what steps are expected to be taken to correct them. It will outline what additional training or assistance will be afforded the technician and what other resources will be made available to the technician to assist him/her in improving job performance to the Fully Acceptable or better rating. The employee will also be put on notice that a failure to bring his performance to the Fully Acceptable level during the PIP will result in a reduction in grade or removal.

B. Requirements. An action to reduce in grade or remove from employment may be initiated anytime by the technician's supervisor if the technician's performance continues to be unacceptable in one or more job elements. The supervisor does not need to wait until the end of the appraisal period to initiate these actions. A technician against whom such an action is planned is entitled to:

1. A minimum 30 day advance written notice of the action to be taken (reduction in grade or removal) which identifies the job elements and unacceptable performance upon which the action is based. The advance written notice must be concurred in by a management official who is in a higher position than the immediate supervisor. (This requirement does not apply if the action is being taken by the Adjutant General). This advanced notice is not a proposal, but is to be considered as a final notice of the action to be taken because before this step the technician would have been given adequate assistance and opportunity to improve performance.

2. An opportunity to answer orally or in writing to the supervisor or to file an appeal to the State review and appeals board. An appeal to the State review and appeals board is limited to the performance appraisal which forms the basis of the reduction in grade or removal, not to the personnel action itself. At the discretion of the Human Resources Officer, the effective date of separation or a reduction in grade may be extended pending recommendation of the Board and final action by the Adjutant General.

3. If a technician submits a request to his/her supervisor to change an unacceptable performance appraisal, the supervisor will carefully review this information and advise the technician in writing whether the unacceptable performance appraisal is sustained or will be changed. A request submitted to the State Review and Appeals Board will be handled in accordance with the instructions listed in Part V.

C. Records. When a performance based action is taken against a technician, all relevant documentation will be placed in the Employee's Work Folder (EWF). This file is maintained by the supervisor and will contain any records of counseling, PIP plan, and documentation of deficiencies. This documentation will be maintained by the supervisor for a period of 1 year following any action based on performance.

PART V. APPEALS

A. Establishing a State Review and Appeals Board. The State Adjutant General, through the Human Resources Office, will establish a State Review and Appeals Board consisting 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 the appeal and should not be in a lower graded position than the appealing technician. The technician is entitled to representation during the board process. If a technician elects to have another technician represent him/her, that representative must use leave or make alternative work arrangements with their supervisor.

B. Filing an Appeal. A technician desiring to file an appeal of a performance appraisal, other than for unacceptable performance, may file an appeal to the State Review and Appeals Board no later than 30 calendar days after the technician receives the appraisal.

An appeal based on a unacceptable performance rating must be filed within the 30 day advance written notice period outlined in Part IV. In reviewing performance appraisal appeals including unacceptable performance, the board by majority vote will recommend to the Adjutant General to change the appraisal as requested by the technician or sustain the appraisal without change. When reviewing unacceptable performance appraisals, the board's review is limited solely to the performance appraisal appeal, it will not review any personnel action taken as a result of an unacceptable performance appraisal. All members of the board must be present at all times during the hearing and must participate in deciding upon a recommendation. The Adjutant General will make the final decision on any appeal. A technician has no appeal rights beyond the Adjutant General on these matters.

C. Appeal Processing. An appeal to the Board is submitted to the Human Resources Officer to initiate processing. The written request should be in military letter format and should contain the following information:

1. Name of the technician
2. Organization
3. The appraisal being appealed
4. Why the appraisal should be changed
5. Date notice and/or appraisal received

When the necessary information is not available, the technician should submit what is available and state why the other information is not available. The Human Resources Office will then be responsible for providing all pertinent materials to include the appeal to the designated board members.

D. Board Procedures. Board proceedings are to be formal but will utilize liberal rules as to what evidence will be allowed. The appealing technician must show that the appraisal received is in error and must so prove by a preponderance of evidence standard. The technician may submit documentary evidence to support his/her case as well as having witnesses testify in their behalf. If the technician desires to call other technicians as witnesses, adequate advance notice should be provided to the Human Resources Office who will be responsible to arrange their presence. If a dispute arises as to whether a witness should be produced, the chairperson of the Board will make final determination based upon the relevance of the witnesses testimony. All testimony before the Board will be sworn.

The recommended process for Board proceedings should be as follows:

1. Board chairperson convenes board and goes over process and rules with participants; appealing technician can challenge any Board member for cause.

2. Appealing technician may make opening statement. Supervisor or management representative may also make an opening statement at this time.

3. Technician may present documents and witnesses to Board. Each witness will be first questioned by technician or representative, then cross examined by supervisor/ management representative, and then questioned by Board members.

4. At conclusion of appealing technician's evidence, the supervisor/ management representative will present any documentation or witnesses that are desired. These witnesses will be first questioned by the management representative, cross-examined by the appealing technician, and then questioned by Board members.

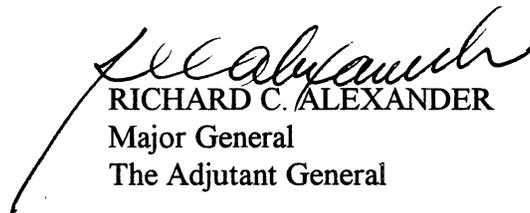
5. The Board retains the right to request any witnesses or documentation that it determines is necessary to decide the appeal. The Board may not use any evidence or information to render a recommendation until all parties to the hearing have had an opportunity to examine and reply to it.

6. After the presentation of evidence is concluded, both sides will be allowed to make a brief closing statement summarizing their view of the evidence.

7. The Board will then adjourn to consider the evidence in private. The Board will render written findings and recommendations within 15 calendar days through the HRO Office to the Adjutant General. There is no requirement for a transcript but the Board can request clerical support through the HRO.

8. Board members must serve as impartial judges and review each case objectively ensuring that the interests of the technician and the Ohio National Guard are protected. Board members must give consideration to the merits of each case and secure all necessary information. Strict rules of evidence should not be used but only evidence relevant to the performance appraisal in issue should be considered.

BY ORDER OF THE GOVERNOR:


RICHARD C. ALEXANDER
Major General
The Adjutant General

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APPENDIX A.
**IDENTIFYING JOB ELEMENTS, ESTABLISHING PERFORMANCE STANDARDS AND
CONDUCTING THE APPRAISAL**

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

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

b. Setting Performance Standards. Specific expected manners of performance are identified for each job element.

c. Communicating the Performance Standards. Each technician should understand exactly what is expected of him or her during the appraisal period. This necessitates periodic review of the technician's performance and a discussion of how he/she is doing in regards to the previously agreed upon manners of performance.

d. Appraising Technician Performance. At the end of the appraisal period, performance is discussed with the technician, and the final evaluation (rating) is entered on the appraisal form.

e. Recommending Personnel Actions. The annual performance evaluation may require certain personnel actions. (See part III)

A-2 STEPS FOR SETTING PERFORMANCE STANDARDS

STEP I: IDENTIFYING JOB ELEMENTS

a. Job elements are broad categories of duties and responsibilities that will be rated. Job elements are recorded in block 5 of AGOH Form 430-E-(T).

b. The following suggested procedure may be followed in identifying job elements:

1) List all individual duties you can for the position in "verb/object" format (e.g., types letters; proofs correspondence; maintains files, etc.)

2) Set list aside and write down 3 to 7 (recommended) broad categories of work that should be rated. Use worksheet (Appendix A-1) to assist you in this process.

3) Refer to your list of duties and examine how your elements cover the most important aspects of the job.

4) Try to simplify your set of elements by deleting and/or combining, to come up with fewer rather than more elements. (Note: Not all duties must be rated. Some may be left out of the job elements.)

c. Determining Task/Duty Statement: Duties previously identified in developing job elements should be used as the basis for optional task/duty statements.

STEP 2: ESTABLISHING PERFORMANCE STANDARDS.

a. Purpose. Performance standards are a narrative description of how employees must perform to earn a given rating. All standards are to be developed using the "manner of performance" method. A manner of performance is a standard that focuses on processes required to prevent problems and facilitate desired results.

b. Determining Manner of Performance Standards.

1) For the Fully Acceptable Level.

a) Consider each element individually when developing your standards.

b) Brainstorm a list of things that can or do go wrong in the performance of the element. (These should be within the employee's control). Edit or combine list to a recommended 4 to 7 items.

c) Write methods of performing the work designed to prevent each problem. (Note: Avoid numbers or ambiguous terms.)

2) Outstanding Level

a) Focus again on each individual element.

b) List things you consider would make an employees work stand out. These would be things you would like to see performed, but do not currently expect or require. Again, edit the list to a recommended 4 to 7 items.

c) Write methods or manners of performance that will ensure you and the employee recognize how to achieve "Outstanding." (Note: Be specific and avoid generalizations).

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

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

A-3 CONDUCTING THE APPRAISAL

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

b. Performance Appraisal Discussion. The goal of the performance appraisal discussion is mutual understanding of actual performance results by the technician (in comparison with the supervisor's expectations as stated in the established manner of performance standards) and future actions for future improvement. These include: specific efforts to improve performance in areas of identified weakness; identification of training and

developmental activities, both short-term and long-term, to remedy deficiencies and/or expand skills and knowledge for career growth; and review of job elements and manners of performance standards to insure currency. Performance reviews should start by giving the employee his/her rating for each element and the overall rating. Recognition for good work during the year should be given and the supervisor should discuss possible improvements. The supervisor and technician should discuss any adjustment to the performance plan for the coming year.

c. Accomplishing the Official Annual Performance Appraisal. The first step for the supervisor in accomplishing the official annual performance appraisal (rating) is to review job elements and associated manner-of-performance standards (blocks 5 and 7 of AGOH Form 430-E-(T)) and the annotated record (actual documented instances of performance) maintained throughout the appraisal period. Based on this review, determine the adjective rating and record in block 9. Block 7, "How Technician Achieved Performance Standards", may optionally be used to record additional comments relative to ratings (i.e., recommended training, etc.). Using the AGOH 430-2-R, Rating Worksheet (appendix A-3), calculate the overall appraisal rating and record in block 11. Next, it is a good idea for the supervisor to discuss the appraisal with his/her supervisor (reviewer) before discussing it with the technician. This will give the supervisor an opportunity to obtain the view of his/her boss, who may have a different and broader perspective, and will provide a chance to settle any differences of opinion that may exist. Lastly, the supervisor should discuss the formal rating with the technician.

APPENDIX B - GUIDELINES FOR APPRAISING SUPERVISORS AND MANAGERS ON THEIR PERFORMANCE IN EEO

1. The following manner of performance standards support the critical element “**Supports Equal Employment Opportunity and Affirmative Action**”. This element is required for all supervisors and managers.

Outstanding Standard

Meets “fully acceptable” and, in addition, demonstrates at least two (2) of the following work habits:

Employee will conduct research and compose an article for the base/unit/company newspaper that will educate Guard members on cultural diversity, affirmative action, discrimination, or substance abuse.

Employee will actively assist recruiting efforts of qualified underrepresented and/or minority employee candidates for their work area, or the unit/company. Employee’s commander or the State Recruiting Office should be contacted for suggestions.

Employee will participate in, or attend a cultural diversity or equal employment opportunity workshop, training program, or event in or outside of the Ohio National Guard.

Employee will help organize a community event, as a Guard representative, that will support the prevention of substance abuse.

Employee will attend a military or civilian training program or course in one or more of the following areas: gender differences, minorities, substance abuse, prevention of sexual harassment, discrimination, cultural diversity, or workplace violence.

Excellent Standard

Performs as described in all manners of performance contained in the “fully acceptable” standard and, in addition, at least one item in “outstanding”.

Fully Acceptable Standard

Performs as required by all of the following:

Employee will conduct annual briefings to subordinates on the prevention of sexual harassment and other forms of discrimination. A record of the briefing outline and employees in attendance will be forwarded to an Equal Opportunity Counselor (ANG) or an Equal Opportunity Advisor (ARNG). Employee is encouraged to contact the State Equal Employment Office for outlines and resource materials.

Employee will monitor their subordinates’ work area to ensure an environment free from hostile remarks, jokes, inappropriate symbols/pictures, and inappropriate behavior that may create an environment of disparate treatment or discrimination i.e., sexual harassment, racism, etc.

Employee will promote fair hiring practices by their subordinates, or within their purview, by directing: the utilization of standard/legal interview questions, documenting questions and responses, ranking applicants according to the applicants’ skills and experience relating to the job vacancy, and making an effort to provide minority or protected class representatives on selection committees.

Employee will ensure unit-wide dissemination of job vacancies in their work areas by posting vacancy announcements, and publishing the vacancy in the base/unit newspaper.

Employee will complete one self-study item on an equal employment opportunity topic that will be provided through the State Equal Employment Opportunity Office. The item will be a pamphlet or article that will expand the supervisor's knowledge of equal employment opportunity, human relations or substance abuse.

Employee will provide, at minimum, counseling to any subordinate who violates regulations or laws pertaining to sexual harassment or other forms of discrimination. Employee will pursue more severe discipline for major or repeat offenses.

Employee will ensure that the following items are posted in their work areas: EEO Complaints Processing System (NGB poster, or comparable diagram/description) and the commander or Adjutant General's policy letter on EEO or sexual harassment.

Employee will conduct informal exit interviews with all underrepresented or minority employees in an attempt to determine their actual reasons for leaving that work area. Information should be shared with the employee's superior, as appropriate, if the reasons were due to perceived unfair treatment or a hostile work environment.

Marginally Acceptable Standard

Following formal counseling, fails to follow any 1 manner of performance shown in the "fully acceptable" standard.

Unacceptable Standard

Following formal counseling, fails to follow any 2 or more manners of performance shown in the "fully acceptable" standard.

2. The appraiser can select items from the above suggested menu of manner-of-performance standards that they believe will benefit the EEO and human relations climates in their work area. Performance plans should be customized for each position to achieve maximum results. The appraiser will determine the appropriate weight value to assign this element.

3. Questions regarding these standards should be referred to the State Equal Employment Office at (614) 889-7120/7121, DAN: 273-7120/7121.

APPENDIX C - SAMPLE LETTER AND FORMAT AND INSTRUCTIONS FOR COMPLETING FORMS

This appendix contains a sample notice of decision based on unacceptable performance and instructions for completing AGOH Forms 430-E-(T) and 430-1-E-(T). It also contains a worksheet for calculating overall performance ratings (AGOH 430-2-R-(T) and worksheets to assist in developing manners of performance standards.

C-1. SAMPLE NOTICE OF WRITTEN DECISION BASED ON UNACCEPTABLE PERFORMANCE

Appropriate Letterhead

SUBJECT: Decision to Remove/Reduce in Grade (Unacceptable Performance)

TO: (Name, Organization)

1. On 1 January 19__, you and I established written performance standards and identified job elements for your position of aircraft mechanic, WG-000-00. At that time you signed AGOH Form 430-E-(T) indicating that you and I had discussed these standards and job elements.
2. On 2 March 19__, I informed you orally and in writing that your performance regarding job element no. __ pertaining to _____ was unacceptable because you had failed to *(list here specific instances of unacceptable performance on which this action is based)*. On 16 March 19__ I provided you with specific written instructions on how to improve your performance on this job element.
3. Despite counseling and on-the-job training, your performance on this job element continues to be unacceptable. Therefore, effective on *(date)* you will be terminated from your employment as an aircraft mechanic.
4. During this notice period, you may appeal the unacceptable performance appraisal within 10 workdays to the State Review and Appeals board. Should you appeal to the board, you will be given a final determination within ____ days of the board making its final recommendation.
5. Unless your official performance appraisal of unacceptable is changed by the board, you will be terminated on the date shown on paragraph 3, unless an extension has been granted.

(Signature and Identification)

C-3. INSTRUCTION FOR COMPLETING AGOH FORMS 430-E-(T), 430-1-E-(T), AND 430-2-R-(T)**AGOH 430-E-(T)**

Blocks 1 through 4 - Self explanatory.

Block 5 - Enter job elements derived from the technician's position description, mission/functional statement, or locally developed performance requirements. Optional task and duty statements may be included in parentheses beneath each job element.

Block 6 - Enter the weighted element value (1 through 3) assigned to each job element. Remember values may be repeated and it is not necessary to have each value represented. For example, a performance plan with 5 job elements may have three elements weighted as 3 and two elements weighted as 2. Alternatively, three elements may be weighted as 3, one as 2, and the last as 1. More critical element(s) will be assigned the weighted value of 3, the lower weighted element(s) the value of 2 or 1, with 1 being the least critical.

Block 7 - Enter for each job element specific manner of performance standards established for each adjective rating level.

Block 8 - After manner of performance standards have been recorded in block 7, the supervisor (appraiser) and technician will sign the form. The reviewer is only required to sign when there is a disagreement between the supervisor and the technician regarding the written standards and the job elements, or when the technician refuses to sign. The technician's signature on this form indicates only that he or she has discussed the performance standards and job elements with the supervisor and does not constitute agreement. A technician's refusal to sign does not release him or her of the obligation to perform to the established standards.

Blocks 9 and 10 - Self explanatory.

AGOH FORM 430-1-E-(T)

Blocks 1 through 5 - Self explanatory.

Block 6 - Enter Job element number from block 5 of AGOH Form 430-E-(T).

Block 7 - This is an optional block for additional comments related to performance and may contain items such as suggested training goals.

Block 8 - Enter the Weighted Element Value from block 6 of AGOH Form 430-E-(T).

Block 9 - Enter the adjective rating for each given job element as determined by evaluation of performance against manners of performance listed in block 7 of AGOH Form 430-E-(T) (i.e., O=Outstanding, EX=Excellent, FA=Fully Acceptable, MA=Marginally Acceptable, U=Unsatisfactory).

Block 10 - Check appropriate box. If retention is not recommended, furnish the HRO with specific reasons why.

Block 11 - Check appropriate box. This overall appraisal rating is determined by using AGOH 430-2-R-(T), Rating Worksheet, to make the necessary calculations and rating determination.

Blocks 12 through 14 - Self explanatory.

PERFORMANCE STANDARDS AND CRITICAL JOB ELEMENTS FORM

1. Name / SSN	2. Title And Grade	3. Organization	4. Appraisal Period: Birth Month:
5. Critical Job Element <small>(Task Duty Statement Optional)</small>	6. Weighted Element Value <small>(3-1)</small>	7. Manner of Performance Standards	

1. Name / SSN	2. Title And Grade	3. Organization	4. Appraisal Period: Birth Month:
5. Critical Job Element <small>(Task Duty Statement Optional)</small>	6. Weighted Element Value <small>(3-1)</small>	7. Manner of Performance Standards	
8. Signatures			
A. Appraiser:		9. Name and Title	10. Date
B. Technician: *			
C. Reviewing Official:			

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* Technician's signature on this form indicates only that the performance standards and critical job elements have been discussed with the supervisor. It does not constitute agreement with the established elements and standards.

PERFORMANCE APPRAISAL FORM

1. NAME / SSN		2. Title and Grade	3. Organization	
		4. Type of Appraisal <input type="checkbox"/> Official <input type="checkbox"/> Detail	5. Appraisal Period From: To: Birth Month:	
6. Job Element #	7. Rating Comments (optional)		8. Weighted Element value	9. Element Rating

6. Job Element #	7. Rating Comments (optional)	8. Weighted Element value	9. Element Rating

10. Trial / Probationary Period:		<input type="checkbox"/> Retention Recommended	<input type="checkbox"/> Retention Not Recommended
11. Adjective Appraisal: <input type="checkbox"/> Unacceptable <input type="checkbox"/> Marginally Acceptable <input type="checkbox"/> Acceptable <input type="checkbox"/> Excellent <input type="checkbox"/> Outstanding			
12. Signatures		13. Name and Title	14. Date
A. Appraiser			
B. Technician			
C. Reviewer			
D. Approving Official			

RATING WORKSHEET
(For Use With AGOH Form 430-1-E-(T))

A. Element No.	B. Weight Value	X	C. Element Rating	=	D. Determined Rating
_____	_____		_____		_____
_____	_____		_____		_____
_____	_____		_____		_____
_____	_____		_____		_____
_____	_____		_____		_____
_____	_____		_____		_____

1. List the elements by number in column A along with the corresponding weight value (1,2, or 3) of each in column B.
2. Sum all of the weight values in column B and enter the total here: **E.** _____
3. In column C show how each element was rated (O=5, E=4, FA=3, MA=2).
4. Multiply the weight value (column B) times the associated element rating (column C). Enter the result in column D.
5. Sum the determined ratings (column D) and enter the total here: **F.** _____
6. Divide the number in F by the number in E. Round the result up to the next highest tenth (For example: 3.73 ----> 3.8) and enter here: **G.** _____
7. Compare the value in G with the overall rating scale below. Enter the associated rating in adjective form here: **H** _____ (Example: 3.6 would be EX).

Overall Rating Scale: Outstanding = 4.5 - 5.0; Excellent = 3.5 - 4.4; Fully Acceptable = 2.5- 3.4; Marginally Acceptable = 2.0 -2.4. An unacceptable rating in any critical element will result in an automatic overall unacceptable appraisal rating and remedial action will be required.

8. Record the adjective rating in H in block 11 of AGOH 430-1-E-(T).

(Note: This worksheet may be retained in the employee work folder with the copy of the associated appraisal. It is not to be forwarded with the original performance appraisal.)

JOB ELEMENT WORKSHEET

After developing a list of duties for a given position, combine similar or related duties into types or categories. These will be your elements. The number of spaces provided in the worksheet below are arbitrary. You may combine more or fewer than five duties into a single element. Continue on a separate sheet if you have more than three elements.

ELEMENT # () _____

- Duties Included:
1. _____
 2. _____
 3. _____
 4. _____
 5. _____

ELEMENT # () _____

- Duties Included:
1. _____
 2. _____
 3. _____
 4. _____
 5. _____

ELEMENT # () _____

- Duties Included:
1. _____
 2. _____
 3. _____
 4. _____
 5. _____

MANNERS OF PERFORMANCE WORKSHEET

Step 1. For each job element brainstorm a list of things that can and do go wrong. These problems should be within the employee's control.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

Part 2. Select three to seven problems from your list that you would like to see improved.

1. _____
2. _____
3. _____
4. _____
5. _____

