



# *West Virginia National Guard Human Resources Office Bulletin*



**Bulletin Number: 11-04**

**Date: 1 October 2011**

**Applicability: National Guard (NG) Technicians; Technician Supervisors**

## **Performance Appraisal Application (PAA) Review of Procedures**

**Subject:** PAA Procedures

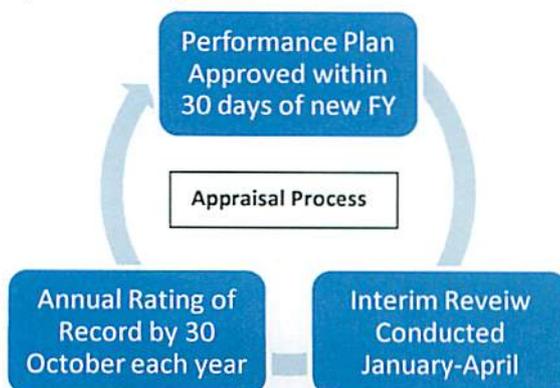
**References:** TPR 430 dated 5 November 2009; TAAI 10-002 dated 1 June 2010

**Effective Date:** Immediately

**Use:** All West Virginia National Guard Technicians employed under the provisions of 32 U.S.C. 709 are prescribed a five-rating level evaluation method for the PAA program except for technicians occupying a temporary position and those technicians who have not been employed by our agency for a minimum of at least 12 consecutive months.

For Fiscal Year (FY) 2011, the appraisal period was 1 October 2010 to 30 September 2011. All performance plans for that period should have been established and approved, at least one interim review should have been completed during the rating cycle, and an official rating of record should be completed before 30 October 2011. Communication should have been documented using the MyBiz/MyWorkplace data system.

For FY 12, the performance plan should be established and approved by 30 October 2011. At least one interim review must be conducted during the rating cycle; however, there is no limit to the amount of interim reviews a supervisor can conduct. The next rating of record must be conducted before 30 October 2012. Communication should be completed using the MyBiz/MyWorkplace data system.



**Caution:** If no rating of record has been completed on an employee within the last 5 years, no personnel actions will process (promotions, within-grade increases, reassignments, etc) until an official rating of record is assigned.

Employees also need current ratings in order to be eligible for certain awards: QSI's and SSP's and performance appraisals are utilized in the event of a Reduction-in-Force.

During the past year, the HRO has received many questions pertaining to the below categories. Employees, rating officials, and/ or higher-level reviewers should be aware of the following:

**Closeout Assessments:** Closeout assessments should be accomplished during the rating cycle if the supervisor will cease to exercise duties related to monitoring, developing, and rating employee performance due to job change, extended absence, retirement, deployment, selection of AGR position, etc. This condition may result from a job change by either the employee or supervisor.

1. Normally, the closeout assessment should be accomplished within 10 calendar days after the supervisor ceases to exercise duties related to monitoring, developing, and rating the employee's performance.

2. Closeouts are 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.

**Supervisory Critical Element:** Supervisor's must have within their individual performance plan a Supervisory Critical Element. This is a mandatory requirement of TPR 430, Para 2-8(f)4 and Rating officials and Higher- Level reviewers must ensure that this critical elements is included as part of each supervisors performance plan. A supervisor's performance plan must include a critical element with the following but is not limited to:

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

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

3. Fostering and rewarding excellent performance;

4. Addressing poor performance;

5. Assuring employees are assigned a rating of record;

6. Adhering to laws and regulations concerning merit system principals and prohibited personnel practices; and

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

**Employee Self-Assessments:** 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. The input will assist the rating official in evaluating more fully the employee's performance results. While voluntary, it is recommended that the employee

complete the self-assessment narrative during the interim review and the annual appraisal. The employee's perspective will better inform the rater of performance, achievements, and contributions and may affect the rating of record. Employees are encouraged to maintain a personal record of accomplishments and achievements regarding performance for the appraisal cycle.

**Marginal or Unacceptable Ratings:** If an employee has a Marginal or Unacceptable Rating, there are certain procedures that the rating official and/ or supervisor must take.

1. Unacceptable ratings (Level 1) require justification to be approved at the next Higher- level and documentation must be provided (PIP, Documentation of Counseling's, etc).

2. A Marginal rating (Level 2) allows the supervisor to deny a within-grade or step increase.

3. A formal Performance Improvement Plan (PIP) is required when a Level 1 or Level 2 is given. Technicians who receive a rating of Marginal or Unacceptable (Level 1 or 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. Examples of a PIP can be found on the HRO website under the tab 'Supervisor's Tool Box' or at <http://www.wv.ngb.army.mil/jobs/Supervisor/default.html>.

4. Failure for the employee to improve under the PIP will lead to reassignment, reduction in grade, or removal.

5. A Special Purpose Rating of Record will be done 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.

**Critical Element Rating Descriptors:** The following chart is a reminder of the rating pattern for the 5 level rating system.

<b>CRITICAL ELEMENT RATING</b>	<b>Descriptors: The following definitions shall apply to the summary or overall performance appraisal rating.</b>
5- Outstanding 4.51 to 5.00	Outstanding performance in one or more critical elements and excellent performance for all other critical element(s).
4- Excellent 3.51 to 4.50	Excellent performance in one or more critical element(s) and fully successful performance for all other critical element(s).
3- Fully Successful 2.51 to 3.50	Overall fully successful performance.
2- Marginal 2.00 to 2.50	Below fully successful performance, but at least marginal performance for all other critical elements.
1- Unacceptable <i>1 on any Critical Element</i>	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 elements because it became obsolete or could not be accomplished due to extenuating circumstances.

How to Guides for employees, rating officials, and higher level reviewers and other Performance Management tools are available at the following link:

<http://www.wv.ngb.army.mil/jobs/Employee%20Benefits/Per%20Mgt/Default.html>.

**Your point of contact is the Employee Relations Specialist at (304) 561-6431.**



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