Mandatory Supervisory Element under the Defense Performance Management and Appraisal Program (DPMAP)

BLUF: All Federal Civilian Employees (Title 32/Title 5) who are also a Supervisor/Rating Official, are required to modify their performance plan to include a new supervisor performance element.

Congress recently passed Section 1097 of the National Defense Authorization Act for Fiscal Year 2018 (FY17 NDAA), which is codified in 5 U.S.C. Sections 4302 and 7515. These provisions require agencies to establish a supervisor whistleblower protection performance element. Implementation of this performance element applies only to those Federal Civilian Employees (Title 32/Title 5) who are also a Supervisor/Rating Official.

Your 2020 performance plan must now include this performance element. Below is a sample of wording you can use as a performance element for a supervisor's appraisal.

"Supports the Whistleblower Protection Program by responding constructively to employees who make protected disclosures under 5 U.S.C. 2302(b)(8); taking responsible and appropriate actions to resolve any such disclosures; and creating an environment in which employees feel comfortable making such disclosures".

NOW WHAT? You will need to go into your 2020 performance plan, click on the plan tab and ensure you have this new element in your plan. Once that is complete, your performance plan will need to be re-approved/modified before you can proceed to the next step. If you should need assistance, please do not hesitate to contact Ms Jenn Fischer at 701.333.3366.

How do I…

Complete Rating Official Activities in the National Guard (Title 32) PAA?

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Note: You only complete a Closeout Assessment if your employee is transferring to another Rating Official

How do I…Complete Performance Plan Activities?

Create an Employee's Performance Plan

1. Begin at the **MyPerformance Main Page**.
2. Create a new Performance Plan by selecting **'DoD Performance Management System'** from the **'Choose a Plan Type'** drop down menu, then selecting the **'Go'** button, which will display a list of employee's to choose from.
3. Select the **'Create'** button for the employee you would like to create a performance plan.
4. After reading the **'Supervisory Commitment Statement',** select the **'Acknowledge'** button in the upper right-hand corner.
5. Select the **'Build New Plan'** button or **'Copy an Existing Plan'**.

Copy an Existing Plan

1. Begin at the **MyPerformance Main Page**.
2. Create a new Performance Plan by selecting **'DoD Performance Management System'** from the **'Choose a Plan Type'** drop down menu, then selecting the **'Go'** button, which will display the **Plan Details Tab Page**.
3. Review the information and make any necessary changes to the default values.
4. Select the **'Copy an Existing Plan'**.
5. Enter the employee name that you would like to copy the plan from and select the **'Find'** button.
6. Select the **'Copy'** button for the plan you would like to copy.

Update Setup Details

1. If the information is not correct:

   - Select the **'Calendar'** icon next to the date to change it. Select a new date.
   - Select the **'Change Rating Official or Higher Level Reviewer'** button to change the Rating Official or the Higher Level Reviewer.

2. Select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

Add Mission Goals

1. Select the **Mission Goals Tab**.
2. Enter or review your organization's goals and priorities.

   You are encouraged to provide this information as it helps your employee(s) to write effective Performance Elements that align with your organization's goals and priorities. You may type directly into the text box or copy and paste from another document.

3. Select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

Add Performance Elements

1. Select the **Performance Elements and Standards Tab** to review the employee's Performance Elements.
2. Select the **'Add Performance Element' button** to create a new Performance Element. (**Please Note**: There must be a **minimum of two (2)** Performance Elements and a **maximum of ten (10)** Performance Elements)
3. Enter the Performance Element Title.
4. Change the Start Date if the default value is incorrect. (**Please Note**: The **'Performance Element Start Date'** must match the appraisal start date. If the dates do not match, an error will occur.
5. The **'Performance Element Type'** will default to **'Critical'** – all Performance Elements are considered critical.
6. Enter your draft **Performance Elements and Standard(s)** text.
7. Select one of the following buttons.

   - Select **'Save'** to save the Performance Element and continue writing.
   - Select **'Save and Add Another Performance Element'** to save and begin writing another Performance Element.
   - Select '**Go Back to Performance Elements'** when you are finished entering Performance Elements. (**Please Note**: If you click on **'Go Back to Performance Elements'** without saving, a warning will be shown asking, **'Do you want to save the changes you made to Performance Element?'**. Please **'Yes'** to save and continue. Press **'No'** to go back and make corrections.

8. After you have completed adding Performance Elements and selected **'Save and Return to Performance Elements Tab'**, select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

Delete Performance Elements

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.
3. Select the **'Plan Tab'** to list the employee's Performance Plans.
4. Select the **'Update'** button in the **'Action'** column for the selected Performance Plan.
5. Select the **Performance Elements Tab** to list the employee's Performance Elements.
6. Select the **'Delete'** icon for the Performance Element you want to delete.
7. Select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

Update Performance Elements

1. Begin at the **MyPerformance Main Page**.
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.
3. Select **'Acknowledge'** on the Supervisory Commitment Statement page.
4. Select the **'Step 3: Performance Elements and Standards'** to see the list of the employee's Performance Elements.
5. Select the **'Update'** button in the **'Action'** column for the selected Performance Element.
6. Update any of the **Performance Element** information.

   - Performance Element Title
   - Start Date
   - Performance Element Text

7. Select one of the following buttons.

   - Select **'Save'** to save the Performance Element and continue writing.
   - Select **'Save and Update Another Performance Element'** to save and begin updating or adding another Performance Element.
   - Select **'Save and Return to Performance Element Tab'** when you are finished updating Performance Elements.

8. After you have completed updating Performance Elements and selected **'Save and Return to Performance Elements Tab'**, select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

Approve Performance Elements

1. Begin at the **MyPerformance Main Page**.
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status is **'Pending'.**

3. Review employee's mission goals by selecting the **Mission Goals Tab**.
4. Select the **Performance Elements Tab** to list and review the employee's Performance Elements.
5. Select the radio button next to each Performance Element to display the Performance Element.
6. Select the **Approvals and Acknowledgments Tab**.
7. In **'Step 1: RO - Request or Document HLR'** select the **'Start'** button.
8. To Request Higher Level Review, choose Option A.

   - Change the name of the Higher Level Reviewer, if necessary.
   - Enter a notification message to the Higher Level Reviewer.
   - Select the **'Transfer to HLR with E-mail notification'** button or select **'Transfer to HLR without E-mail notification'** button**.**

9. To Document Higher Level Review, choose Option B. (This option should only be used if the Higher Level Reviewer is not available to sign the appraisal.)

   - Enter the Review Date.
   - Enter the Method of Review. If the Method is **'Other'** complete the **'Other'** text field.
   - Change the name of the Approver (the Higher Level Reviewer).
   - Select the **'Save'** button.

10. Select the highlighted **'Start'** button to continue with the process or select the **'Logout'** link to end your session.

Re-Approve Performance Elements

1. Begin at the **Performance Appraisal Application Main Page.**
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status is **'Plan in Progress'**.

3. Review employee's Performance Plan details and mission goals by selecting the **Plan Details Tab** and then the **Mission Goals Tab**.

4. Select the **Performance Elements Tab** to list and review the employee's Performance Elements.

5. Select the radio button next to each Performance Element to display the Performance Element.

6. Select the **Re-Approval of Performance Elements Tab**.

7. If Step 1 is required by your state, in **'Step 1: RO - Request or Document HLR'** select the **'Start'** button.

8. To Request Higher Level Review, choose Option A.

   - Change the name of the Higher Level Reviewer, if necessary.
   - Enter a notification message to the Higher Level Reviewer.
   - Select the **'Transfer to HLR with E-mail notification'** button or select **'Transfer to HLR without E-mail notification'** button.

9. To Document Higher Level Review, choose Option B.

   - Enter the Review Date.
   - Enter the Method of Review. If the Method is **'Other'** complete the **'Other'** text field.
   - Change the name of the Approver (the Higher Level Reviewer).
   - Select the **'Save'** button.

10. If Step 1 is not required by your state, select the **'Start'** button in **'Step 3: Rating Official - Document Communication to Employee'**.

    - Enter the date the communication to the employee occurred in the **'Communication Date'** field.
    - Select the Communication Method from the **'Communication Method'** drop down menu. If the Method is **'Other'** complete the **'Other'** text field.
    - Select the **'Save and Transfer to Employee for Acknowledgment'** button.

11. Select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

Request or Document Higher Level Reviewer (HLR) Approval

1. Begin at the **Performance Appraisal Application Main Page**.

2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status is **'Plan in Progress'**.

3. Select the **Plan Tab** to list the employee's Performance Plan.

4. Select the **'Update'** button in the **'Action'** column for the selected Performance Plan.
5. Select the **Approvals and Acknowledgments Tab**.
6. Select the **'Start'** button in **'Step 1: Rating Official - Request or Document Higher Level Review (Optional)'**
7. To Request Higher Level Review, choose Option A.

   • Change the name of the Higher Level Reviewer, if necessary.
   • Enter a notification message to the Higher Level Reviewer.
   • Select the **'Transfer to HLR with E-mail notification'** button or Select **'Transfer to HLR without E-mail notification'** button.

8. To Document Higher Level Review, choose Option B.

   • Enter the Review Date.
   • Enter the Method of Review. If the Method is **'Other'** complete the **'Other'** text field.
   • Change the name of the Approver (the Higher Level Reviewer).
   • Select the **'Save'** button.

9. Select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

Document Communication of the Performance Plan to the Employee after HLR Approval

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status is **'Plan Approved by HLR'**.

3. Select the **'Update'** button in the **'Action'** column for the selected Performance Plan.
4. Select the **Approvals and Acknowledgments Tab**.
5. Select the **'Start'** button in **'Step 3: Rating Official - Document Communication to the Employee.'**
6. Enter the date the communication to the employee occurred in the **'Communication Date'** field.
7. Select the Communication Method from the **'Communication Method'** drop down menu. If the Method is **'Other'** complete the **'Other'** text field.
8. Select the **'Transfer to Employee'** button.
9. Select the **'Return to Main Page'** button to start a new process or select the **'Logout'** link to end your session.

Retrieve a Performance Plan or Appraisal

1. Begin at the **Performance Appraisal Application Main Page**.
2. Select **'Retrieve'** from the **'Action'** drop down menu for the plan listed and select the **'Go'** button.

Change the Rating Official and Higher Level Reviewer

1. Begin at the **Performance Appraisal Application Main Page**.
2. Select **'Change RO and/or HLR'** from the **'Action'** drop down menu for the plan listed and select the **'Go'** button.
3. Change the Rating Official Name or the Higher Level Reviewer using the **'Flashlight'** icon.
4. Select the **'Return to Main Page'** button to continue with the process or select the **'Logout'** link to end your session.

Transfer to the Employee

1. Begin at the **Performance Appraisal Application Main Page**.
2. Select **'Transfer to Employee'** from the **'Action'** drop down menu for the plan listed and select the **'Go'** button.
3. Type an e-mail message to the employee indicating that you are transferring the Performance Plan.
4. Select the **'Transfer to Employee'** button at the top of the E-Mail Notification Page.

Document Employee Acknowledgment

1. Begin at the **Performance Appraisal Application Main Page.**
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status is **'Plan Approved'**.

3. Select the **Approvals and Acknowledgments Tab**.
4. Select the **'Start'** button in **'Step 4: Rating Official - Document Employee Acknowledgment. '**
5. Select the **'Return to Main Page'** button to start a new process or select the **'Logout'** link to end your session.

How Do I…Complete Interim Review Activities?

Create an Interim Review

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status is **'Plan Approved'.**

3. Select the **Interim Reviews Tab**.
4. Select the **'Create Interim Review'** button.
5. Assess your employee's Performance Elements or select the **'Logout'** link to end your session.

Assess an Employee's Performance Elements

1. Select the **Interim Reviews Tab** to list the employee's Interim Reviews.
2. Select the **'Update'** button for the selected Interim Review.
3. Select the **Assessments Tab** to list the employee's Performance Elements and assessments.
4. Select the radio button next to each Performance Element to display the Performance Element and the employee's self-assessment.
5. Enter your evaluation for each Performance Element.
6. Select the **'Transfer to Employee'** button at the top of the screen.

Document Communication of the Interim Review to the Employee

   Note: The PAA Status is **'Interim Approved by HLR'**.

1. Select the **Interim Reviews Tab** to list the employee's Interim Reviews.
2. Select the **'Update'** button for the selected Interim Review.
3. Select the **Approvals and Acknowledgments Tab.**
4. Select the **'Start'** button in **'Step 3: Rating Official - Document Communication to the Employee.'**
5. Enter the date the communication to the employee occurred in the **'Communication Date'** field.
6. Select the Communication Method from the **'Communication Method'** drop down menu. If the Method is **'Other'** complete the **'Other'** text field.
7. Select the **'Save and Transfer to Employee for Acknowledgment'** button.
8. Select the **'Return to Main Page'** button to start a new process or select the **'Logout'** link to end your session.

How Do I Complete…Annual Appraisal Activities?

Rate an Employee's Performance Elements

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down and select the **'Go'** button.

   Note: The PAA Status will be **'Interim Review Completed'.**

3. Select the **Annual Appraisal tab** to list the employee's Performance Elements.
4. Select the radio button next to each Performance Element to display the Performance Element and the employee's self-assessment.
5. Enter your evaluation.
6. Recommend a Performance Element Rating.
7. Repeat steps 4 through 6 until all Performance Elements are evaluated and rated.

How Do I…Complete Closeout Assessment Activities?

Note: You only complete a Closeout Assessment if your employee is transferring to another Rating Official.

Create a Closeout Assessment

1. Begin at the **Performance Appraisal Application Main Page.**
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status is **'Plan Approved'**.

3. Select the **Other Assessments Tab**.
4. Select the **'Create Closeout Assessment'** button.
5. Select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

Assess an Employee's Performance Elements

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu for the plan listed and select the **'Go'** button.

Note: The PAA Status is **'Closeout in Progress'**.

3. Select the **Other Assessments Tab** to list the employee's Other Assessments.
4. Select the **'Update'** button for the selected Closeout Assessment.
5. Select the **Performance Elements Tab** to list the employee's Performance Elements.
6. Select the radio button next to each Performance Element to display the Performance Element and the employee's self-assessment, if written.
7. Enter or revise your evaluation of the Performance Element.
8. Repeat Steps 6 and 7 for each Performance Element.
9. Select the **'Transfer to Employee'** button at the top of the screen.

Document Completion of a Closeout Assessment

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

    Note: The PAA Status is **'Closeout in Progress'.**

3. Select the **Other Assessments Tab** to list the employee's Other Assessments.
4. Select the **'Update'** button for the selected Closeout Assessment.
5. Select the **Communications and Acknowledgments Tab**.
6. In **'Step 2: Rating Official - Document Communication to the Employee'** select the **'Start'** button.
7. Enter the date the communication to the employee occurred in the **'Communication Date'** field.
8. Select the Communication Method from the **'Communication Method'** drop down menu. If the Method is **'Other'** complete the **'Other'** text field.
9. Select the **'Save and Transfer to Employee'** button.
10. Select the **'Return to Main Page'** button to start a new process with the process or select the **'Logout'** link to end your session.

How do I…

Complete Employee Activities in the National Guard (Title 32) PAA?

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How do I…Complete Activities Associated with My Performance Plan?

Create My Performance Plan

1. Begin at the **Performance Appraisal Application Main Page**.
2. Select **'National Guard (Title 32)'** from the **'Choose a Plan Type'** drop down menu.
3. Select the **'Go'** button to display the **Create Performance Plan: Setup Details Page.**
4. Review the information and make any necessary changes to the default values.
5. Select the **'Build New Plan'** button or **'Copy an Existing Plan'**.
6. Select the **'Next'** button to continue the process or select the **'Logout'** link to end your session.

Add Mission Goals

1. Select the **Mission Goals Tab.**
2. Enter your organization's goals and priorities.

   If information is not included about your organization's goals and priorities, you are encouraged to provide this information as it helps you write effective Job Objectives that align with your organization's goals and priorities. If you need assistance, speak with your supervisor.

   You may type directly into the text box or copy and paste from another document.

3. Select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

Add Job Objectives

1. Select the **Job Objectives Tab**.
2. Select the **'Add Job Objective'** button to create a new Job Objective.
3. Enter the Job Objective Title, it should be meaningful.
4. Change the Start Date if the default value is incorrect.
5. Enter your draft Job Objective text.
6. Select one of the following buttons.

   • Select **'Save'** periodically to save the Job Objective and continue typing.
   • Select **'Save and Add Another Job Objective'** to save and begin writing another Job Objective.

- Select **'Save and Return to Job Objectives Tab'** when you are finished entering Job Objectives.

7. After you have completed adding Job Objectives and selected '**Save and Return to Job Objectives Tab'**, proceed to the Transfer My Performance Plan to My Rating Official section of this guide to continue with the process or select the **'Logout'** link to end your session.

Transfer My Performance Plan to My Rating Official

Important Note: The **'Transfer to Rating Official'** button appears on many tabs.

1. Begin at the **Performance Appraisal Application Main Page**.
2. Select **'Transfer to Rating Official'** from the **'Action'** drop down menu for the plan listed and select the **'Go'** button.
3. Type an e-mail message to your Rating Official indicating that you are transferring the Performance Plan, if you want to use the e-mail option.
4. Select the appropriate **'Transfer to Rating Official'** button at the top of the e-mail Notification Page.

Copy an Existing Plan

1. Begin at the **Performance Appraisal Application Main Page**.
2. Create a new Performance Plan by selecting **'National Guard (Title 32)'** from the **'Choose a Plan Type'** drop down menu, then selecting the **'Go'** button, which will display the **Plan Details Tab Page**.
3. Review the information and make any necessary changes to the default values.
4. Select the **'Copy an Existing Plan'**.
5. Select the **'Find'** button to search for an approved plan to copy.
6. Select the **'Copy'** button for the plan you would like to copy.

Delete Job Objectives

Important Note: Once your Job Objective is approved, it can only be deleted by your Rating Official.

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open an existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu for the plan listed and select the **'Go'** button.
3. Select the **Job Objectives Tab** to list your Job Objectives.
4. Select the **'Delete'** icon for the Job Objective you want to delete.
5. Select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

Update Job Objectives

Important Note: You must have ownership of your Performance Plan to update Job Objectives.

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open your current Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.
3. Select the **Job Objectives Tab** to list your Job Objectives.
4. Select the **'Update'** button for the Job Objective you want to update.
5. Update any of the Job Objective information.

   - Job Objective Title
   - Start Date
   - Job Objective Text

6. Select one of the following buttons when your Job Objective information is complete.

   - Select **'Save'** to save the Job Objective and continue writing.
   - Select **'Save and Update another Job Objective'** to save and begin updating or adding another Job Objective.
   - Select **'Save and Return to Job Objectives Tab'** when you are finished updating Job Objectives.

7. After you have completed updating Job Objectives and selected **'Save and Return to Job Objectives Tab'**, select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

Acknowledge My Performance Plan

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open your current Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status will be '**Plan Approved'**.

3. Select the **Approvals and Acknowledgments Tab**.
4. In '**Step 4: Employee - Acknowledgment'**, select the **'Acknowledge Receipt'** button.
5. Select the **'Return to Main Page'** button to begin a new process or select the **'Logout'** link to end your session.

How Do I…Complete My Interim Review?

Create My Self-Assessment for My Interim Review

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open your current Performance Plan by selecting **'Update'** from the **'Action'** drop down menu for the plan listed and select the **'Go'** button.

   Note: The PAA Status is **'Plan Approved'**.

3. Select the **Interim Reviews Tab**.
4. Select the **'Create Interim Review'** button.
5. Select the radio button for the Job Objective for which you want to write an assessment.
6. Type your assessment into the **'Employee Self-Assessment'** box.
7. Repeat Steps 5 and 6 until each assessment is complete.
8. Select the **'Return to Interim Reviews Tab'** button at the top of the screen when you have completed entering your self-assessment for all your Job Objectives.
9. Select the **'Transfer to Rating Official'** button on the **Interim Reviews Tab Page.**
10. Type an e-mail message to your Rating Official requesting a review, if you want to use the e-mail option.
11. Select the appropriate **'Transfer to Rating Official'** button at the top of the **E-mail Notification Page.**

Acknowledge My Completed Interim Review

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open your current Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status will be **'Interim in Progress'**.

3. Select the **Approvals and Acknowledgments Tab**.
4. In **'Step 4: Employee - Acknowledgment'**, select the **'Acknowledge Receipt'** button.
5. Select the **'Return to Main Page'** button to begin a new the process or select the **'Logout'** link to end your session.

How Do I…Complete My Annual Appraisal?

Create My Self-Assessment for My Annual Appraisal

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open your current Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status is **'Interim Review Completed'**.

3. Select the **Appraisal Tab**.
4. Select the radio button for the Job Objective for which you want to write an assessment.
5. Type your self-assessment into the **'Employee Self-Assessment'** box.
6. Select the **'Return to Appraisal Tab'** button at the top of the screen when you have completed entering your self-assessment for all your Job Objectives.
7. Transfer your Annual Appraisal to your Rating Official by selecting the **'Transfer to Rating Official'** button on the **Appraisal Tab Page.**
8. Type an e-mail message to your Rating Official requesting a review, if you want to use the e-mail option.
9. Select the appropriate **'Transfer to Rating Official'** button at the top of the **E-Mail Notification Page.**

Acknowledge My Completed Annual Assessment

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open your current Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status is **'Completed'**.

3. Select the **Appraisal Tab.**
4. Select the **Approvals and Acknowledgments Tab**.
5. In **'Step 4: Employee - Acknowledgment'**, select the **'Acknowledge Receipt'** button.
6. Select the **'Return to Main Page'** button to begin a new process or select the '**Logout'** link to end your session.

How Do I…Complete My Closeout Assessment?

Note: You only complete a Closeout Assessment if you change your Rating Official.

Create or Update My Self-Assessment for My Closeout Assessment

1. Begin at the **Performance Appraisal Application Main Page**. If you are already in the PAA, select the **'Return to Main Page'** button at the top right of the screen.
2. Open your current Performance Plan by selecting **'Update'** from the **'Action'** drop down menu.

   Note: The PAA Status is **'Interim Review Completed'** or **'Plan Approved'**.

3. Select the **Other Assessments Tab**.
4. Select the **Assessments Tab**.
5. Select the radio button for the Job Objective for which you want to write an assessment.
6. Type your self-assessment into the **'Employee Self-Assessment'** box.
7. Select the **'Return to Closeout Assessment'** button at the top of the screen when you have completed entering your self-assessment for all your Job Objectives.
8. Transfer your Closeout Assessment to your Rating Official by selecting the **'Transfer to Rating Official'** button on the **Other Appraisal Tab Page**.
9. Type an e-mail message to your Rating Official requesting a review, if you want to use the email option.
10. Select the **'Transfer to Rating Official'** button at the top of the page.
11. Select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

Acknowledge My Closeout Assessment

1. Begin at the **Performance Appraisal Application Main Page**. If you are already in the PAA, select the **'Return to Main Page'** button at the top right of the screen.
2. Open your current Performance Plan by selecting **'Update'** from the **'Action'** drop down menu.

   Note: The PAA Status is **'Interim Review Completed'** or **'Plan Approved'**.

3. Select the **Other Assessments Tab**.
4. Select the **Approvals and Acknowledgments Tab**.

5. In **'Step 4: Employee Acknowledgment'**, select the **'Acknowledge Receipt'** button.

6. Select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

How do I…

Complete Higher Level Reviewer Activities in the National Guard (Title 32) PAA?

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How Do I Complete…Performance Plans and Appraisals?

Approve a Performance Plan

1. Begin at the **Performance Appraisal Application Main Page.**
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status is **'Plan Pending HLR Approval'**.

3. Select any of the tabs to review information about the Performance Plan: the **Plan Details Tab**, the **Mission Goals Tab**, the **Job Objectives Tab**.
4. Select the **Job Objectives Tab** to list and review the employee's Job Objectives.
5. Select the radio button next to each Job Objective to display the Job Objective.
6. Select the **Approvals and Acknowledgments Tab**.
7. In **'Step 2: Higher Level - Review'** select the **'Approve'** button.
8. Type an e-mail message to the Rating Official, indicating your approval, if you want to use the e-mail option.
9. Select the **'Transfer to Rating Official'** button.

Return a Performance Plan to Rating Official for Correction

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.
3. Select any of the tabs to review information about the Performance Plan: the **Plan Details Tab**, the **Mission Goals Tab**, the **Job Objectives Tab**.
4. Select the **Job Objectives Tab** to list the employee's Job Objectives and to review the Job Objectives.
5. Review the employee's self-assessments and the Rating Official's Evaluations
6. Select the **Approvals and Acknowledgments Tab**.
7. In **'Step 2: Higher Level - Review'** select the **'Return for Change'** button.
8. Type an e-mail message to the Rating Official, explaining your request for a change, if you want to use the e-mail option.
9. Select the **'Transfer to Rating Official'** button.

Approve an Interim Review

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status is **'Interim Pending HLR Approval'.**

3. Select any of the tabs to review information about the Performance Plan: the **Plan Details Tab,** the **Mission Goals Tab**, the **Job Objectives Tab**.
4. Select **Interim Reviews Tab**.
5. Select the **Assessments Tab** to list the employee's Job Objectives and assessments.
6. Select the radio button next to each Job Objective to display the Job Objective.
7. Review each Job Objective focusing on the employee's and Rating Official's assessments of the Job Objectives.
8. Select the **Approvals and Acknowledgments Tab**.
9. In **'Step 2: Higher Level - Review'** select the **'Approve'** button.
10. Type an e-mail message to the Rating Official, indicating your approval, if you want to use the e-mail option.
11. Select the **'Transfer to Rating Official'** button.

Return an Interim Review to Rating Official for Correction

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status is **'Interim Review Pending HLR Approval'**.

3. Select any of the tabs to review information about the Performance Plan: the **Plan Details Tab**, the **Mission Goals Tab**, the **Job Objectives Tab**.
4. Select **Interim Reviews Tab**.
5. Select the **Assessments Tab** to list the employee's Job Objectives and assessments.
6. Select the radio button next to each Job Objective to display the Job Objective.
7. Review each Job Objective focusing on the employee's and Rating Official's assessments of the Job Objectives.
8. Select the **Approvals and Acknowledgments Tab**.

9. In **'Step 2: Higher Level - Review'** select the **'Return for Change'** button.
10. Type an e-mail message to the Rating Official, explaining your request for a change, if you want to use the e-mail option.
11. Select the **'Transfer to Rating Official'** button.

Review an Annual Appraisal, including Recommended Job Objective Ratings

1. Begin at the **Performance Appraisal Application Main Page**.
2. Open an employee's existing Performance Plan by selecting **'Update'** from the **'Action'** drop down menu and select the **'Go'** button.

   Note: The PAA Status is **'Appraisal Pending HLR Approval'**.

3. Select the **Plan Tab.**
4. Select any of the tabs to review information about the Performance Plan: the **Plan Details Tab**, the **Mission Goals Tab**, the **Job Objectives Tab**.
5. Select the **Appraisal Tab.**
6. Select the **Assessments Tab** to list the employee's Job Objectives and recommended ratings.
7. Select the radio button next to each Job Objective to display the Job Objective, the employee's self-assessment, the Rating Official's evaluation, the Job Objective rating.
8. Select the **'Next'** button to continue with the process or select the **'Logout'** link to end your session.

NG Technician Performance Appraisal Program

Writing Effective Critical Elements Using the SMART or MARST Formats

Overview

- Performance Appraisal Program – The "Five Rating Level Evaluation Method"
- Performance Appraisal Process
- What Changes
- What Does Not Change
- Writing Effective Critical Elements

Learning Goals and Objectives

- Review mission and goals statements then write two (2) critical elements for an employee using Workcenter Descriptions or Position Descriptions.

- Weight each critical element as appropriate.

- Evaluate whether or not the critical elements satisfies either the SMART or MARST criteria by collaborating with teammates to review, revise, and finalize critical elements.

- Able to describe the role of critical elements within the broader concept of performance management.

TPR 430, Performance Management

- Prescribes a Five Rating Level Evaluation Method

- Clarifies the procedures, and requirements for documentation of the Performance Appraisal system

- *Prescribes the use of the NGB Form 430, Performance Appraisal, to be used with MyBiz & MyWorkplace

Five Rating Level Evaluation Method
What Changes

- Annual Appraisal Cycle: 1 Oct – 30 Sep*

- New Terms

- Summary Pattern: Level 1 thru Level 5

- Mandatory Interim Review

- Mandatory Supervisory "Critical Element"

- Close Out Assessments

- New NGB Form 430

- PAA accessed through MyBiz and MyWorkplace

Five Rating Level Evaluation Method
What Does Not Change

- Trial/Probationary Ratings

- Postponement of Annual Rating of Record

- Communicating Performance Plans

- Below Fully Successful/Unacceptable Performance

- Performance Improvement Plans

- Appeal Process

Performance Appraisal Process

Planning

Supervisor	Employee	Supervisor	Higher Level Reviewer
<u>Defines</u> mission Develops Critical Elements <u>Determines</u> weighting Uses <u>working</u> <u>Critical Element</u> <u>field</u> on form	<u>Understands</u> mission <u>Reviews/revises</u> Critical Elements Understands weighting Uses <u>working</u> <u>Critical Element</u> <u>field</u> on form	Revises Critical Elements Cuts and pastes into <u>Critical</u> <u>Element field</u> on form	Reviews performance plan for equity among employees in same occupation, and salary. Approves performance plan for employee

F I N A L

Monitoring, Developing, Rating, Rewarding

Self Assessment	→	Interim Review	→	Performance Appraisal	→	Rating is the basis for personnel actions.

Employee's Responsibilities

Employees are encouraged to:

- Participate in the development of critical elements
- Identify and record their accomplishments
- Participate in interim reviews and the end-of-year assessments, including the self-assessment
- Understand the link between their performance expectations, conduct, and organization mission and goals

Rater's Responsibilities

- Ensure employees attend performance management training

- Develop critical elements aligned to mission goals and objectives

- Communicate performance expectations to employees and hold them accountable for achieving them

- Provide employee feedback—at least one interim review

- Foster and reward excellent performance

- Address poor performance

- Make meaningful performance distinctions among employees

Higher Level Reviewer Responsibilities

- Be involved in the performance management process throughout the rating period

- Ensure organizational goals are communicated to subordinate supervisors and employees

- Ensure equitable and consistent application of, and compliance with, performance management requirements by all subordinate raters

Requirements for Critical Elements

- Critical elements must be linked to the mission

- Minimum of 2 critical elements; key responsibilities must be captured as critical elements to define performance expectations

- Mandatory Supervisory Critical Element

- Critical elements must be in either the SMART or MARST format

- Critical elements may be weighted

Critical Elements are not Task Descriptions

Critical Elements:	Task Descriptions:
• Focus on the results and contribution	• Focus on the tasks or activities completed
• Describe "what" the person will accomplish	• Describe "how" the person will do the work
• Employee responsible for outcome	• Manager ultimately responsible for the outcome

Additional Considerations for Writing Critical Elements

- Articulate Expected Results

- Absolute Standards

- Totality Approach

- Length of critical elements

Develop Critical Elements for an Employee Using the SMART Format

- **SMART** is a framework for developing (and evaluating) Critical Elements

  Specific

  Measurable

  Aligned

  Realistic/Relevant

  Timed

Critical Elements Are <u>Specific</u>

- Define an observable action, behavior, or achievement

- Link to a level of performance, frequency, percentage, or other number

- Are specific regarding the description of the result (not the activities to achieve that result)

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Example: "Specific" Critical Element

Provides accurate and timely advice and guidance on an "as needed basis" to headquarters staff and managerial accountants in the field – resolving normal issues/inquiries *in 5 – 7 business days, for more complex situations an initial response should be given* in 5 – 7 business days and updated until resolved. *Provides responses to questions and inquiries covering a variety of policies and directives that require the* correct application of accounting principals, theories, concepts and practices *to financial processes to produce* accurate results and meet legal requirements.

Critical Elements are "Measurable"

- Provide a method to allow tracking, recording, and validation of quality of a specific behavior, action, or outcome
- Define:
  - Quantity (how many)
  - Time (how long)
  - Quality (how good)
  - Resources (how much)

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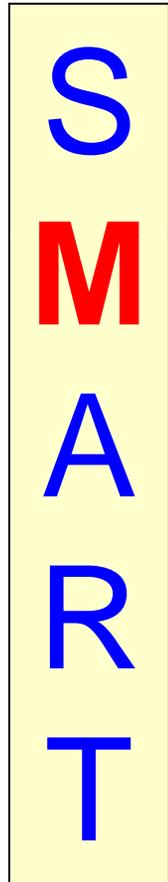
Example: "Measurable" Critical Element

Provides *accurate and timely advice* and guidance on an "as needed basis" to headquarters staff and managerial accountants in the field – resolving normal issues/inquiries *in 5 – 7 business days,* for more complex situations an initial response should be given *in 5 – 7 business days and updated until resolved.* Provides responses to questions and inquiries covering a variety of policies and directives that require the *correct* application of *accounting principals, theories, concepts and practices* to financial processes to produce *accurate results and meet legal requirements.*

Critical Elements Are <u>Aligned</u>

- Line of sight is drawn between the employee's work, unit's goal, and the organization's mission
- Critical Elements ensure all are working toward shared goals
- All critical elements in the organization pull in the same direction
- Managers/supervisors need understanding of their own goals, objectives and critical elements before they can work with their employees to establish theirs

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Aligned Critical Element

NGB Financial Management Mission Statement

ARNG/G8 or ANG/FM Mission

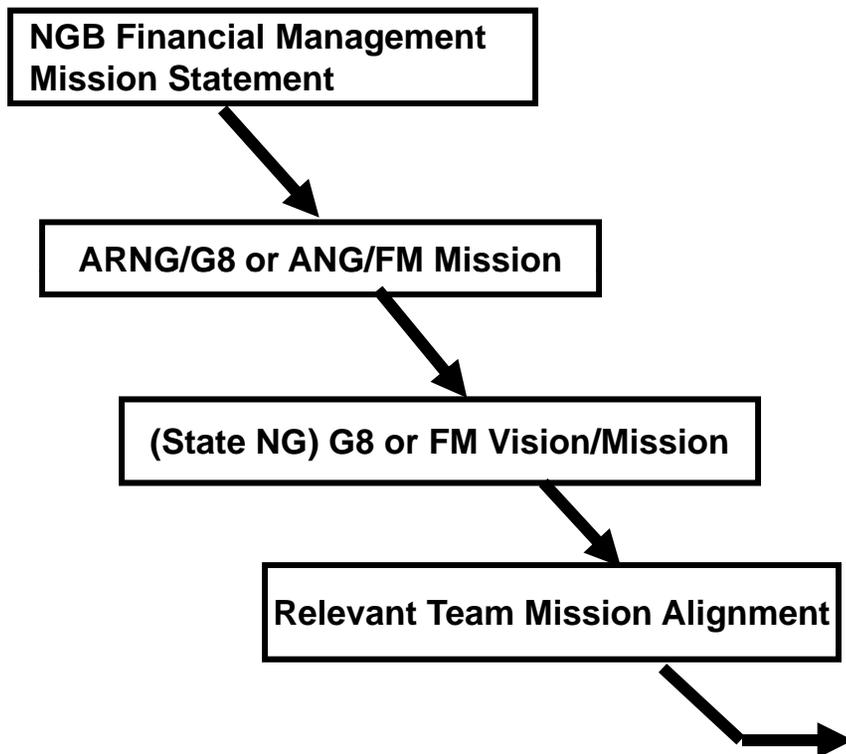(State NG) G8 or FM Vision/Mission

Relevant Team Mission Alignment

Provides accurate and timely advice and guidance on an "as needed basis" to headquarter staff and managerial accountants in the field – resolving normal issues/inquiries in less than 7 business days, for more complex situations an initial response should be given within 7 business days and updated until resolved. Provides responses to questions and inquiries covering a variety of policies and directives that require the correct application of accounting principals, theories, concepts and practices to financial processes to produce accurate results and meet legal requirements.

Critical Elements Are Realistic/Relevant

- Realistic: Goals and objectives achievable with the resources and personnel available, and within the available time

- Relevant: Goals and objectives are important to the employee & organization

- Responsibility must be appropriate to employee's grade

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Realistic/Relevant Examples

- **GS07** – Under limited supervision provides accurate and timely advice and guidance on an "as needed basis" to headquarters staff and managerial accountants in the field – resolving normal issues/inquiries in 5 – 7 business days. Prepares responses for supervisor's review, to questions and inquiries covering a variety of policies and directives that require the correct application of accounting principals, theories, concepts and practices to financial processes to produce accurate results and meet legal requirements.

- **GS11** – Provides accurate and timely advice and guidance on an "as needed basis" to headquarters staff and managerial accountants in the field – resolving normal issues/inquiries in 5 – 7 business days, for more complex situations an initial response should be given in 5 – 7 business days and updated until resolved. Independently prepares responses to questions and inquiries covering a variety of policies and directives that require the correct application of accounting principals, theories, concepts and practices to financial processes to produce accurate results and meet legal requirements.

Critical Elements Are <u>Timed</u>

- Established start and/or end dates are defined
- Specific dates (e.g., March 15) are preferred over relative descriptions of time (e.g., 6 months)
- Milestones can be included

Examples:

‣ Specific Time – by December 10
‣ Relative to another event – 6 months after…
‣ Recurring – quarterly, bi-weekly

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Timed Example

Provides accurate and timely advice and guidance on an "*as needed basis*" to headquarters staff and managerial accountants in the field – resolving normal issues/inquiries in 5 – 7 business days, for more complex situations an initial response should be given in 5 – 7 business days and updated until resolved. Provides responses to questions and inquiries covering a variety of policies and directives that require the correct application of accounting principals, theories, concepts and practices to financial processes to produce accurate results and meet legal requirements.

Example - SMART Critical Elements

- Complete the installation of 150 new computers in the DOIM Office, by the second week of September.

- Provide a monthly progress report, with information on completed work and anticipated obstacles, in the last week of each month.

- Ensure that the DA Form 2062 issuing the new computer to the PC user is signed by the user and forwarded to the Property Book Officer in 2-3 workdays of signature.

Weighting Critical Elements

- Each critical element may be weighted to indicate importance and effort

- Weighting is entered as a percentage in increments of 5%

- At the end of the performance cycle, the percentages are multiplied to the individual objectives' rating to produce the overall performance rating

- If values aren't entered, all critical elements are weighted equally

- Critical Element 1 — 35%

- Critical Element 2 — 20%

- Critical Element 3 — 15%

- Critical Element 4 — 15%

- Critical Element 5 — 15%

  Total Weighting = 100%

Weighted Critical Elements

	Employee 1 rating for each CE		Employee 2 rating for each CE	Weight	Employee 2 Rating after weighted.
Ex1	**Rating**		**Rating**	**Weight**	**Adj. Rating**
1	3		3	10.00%	0.30
2	3		3	25.00%	0.75
3	3		3	65.00%	1.95
	3.00			100.00%	3.00
Ex2	**Rating**		**Rating**	**Weight**	**Adj. Rating**
1	4		4	10%	0.40
2	2		2	25%	0.50
3	5		5	65%	3.25
	3.67			100%	4.15
Ex3	**Rating**		**Rating**	**Weight**	**Adj. Rating**
1	4		4	10%	0.40
2	4		4	25%	1.00
3	2		2	65%	1.30
	3.33			100%	2.70
Ex4	**Rating**		**Rating**	**Weight**	**Adj. Rating**
1	3		3	10%	0.30
2	3		3	25%	0.75
3	2		2	65%	1.30
	2.67			100%	2.35

Consider These Questions When Reviewing the Performance Plan

- Are the critical elements vague?
- Can the critical elements be measured or verified?
- Are the critical elements too complex or unnecessarily long?
- Does each critical element have a timeline?
- Do the critical elements emphasize appropriate aspects of the work?
- Are there too many or too few critical elements?

Questions

15 Minute Break

Go To Page 34

Writing Effective Critical Elements

Participant's Guide

Table Top Exercise

Critical Element Exercise with Handouts

Questions

Summary

- Learning Objectives
- Performance Appraisal Process
- Writing Effective Critical Elements
- Write a Critical Element for an Employee
- Role of the Supervisor

Complete Course Evaluation

- Please complete the course evaluation and return it before you leave to the instructor.

Extra Sample Critical Elements

Sample Critical Element

- **<u>Quantifiable Results</u>** – Complete the installation of 150 new computers in the USPFO, VA, by the second week of September. Provide monthly progress report, with information on completed work and anticipated obstacles, in the last week of each month. Ensure that the Hand Receipt form issuing the new computer to the PC user is signed by the user and forwarded to the Property Book Officer in 2-3 workdays of signature.

Sample Critical Element

- **<u>Special Projects</u>** - Accomplish assigned projects in accordance with established project objectives, achieve expected results, and meet stated milestones/timelines. Results must be technically sound (e.g., in compliance with applicable legal and regulatory provisions), accurate (e.g., validated data, cited references), and in accordance with applicable policies, procedures, and guidelines (e.g., appropriately staffed, legal review).

Sample Critical Element

- **<u>Administrative Work</u>** - Complete office correspondence in compliance with formats contained in the ARNG/ANG correspondence regulations and applicable local formats (e.g., routing slip summaries), within specific timeline established by supervisor or senior staff in the office. Completed work must contain correct spelling and grammar using software spell and grammar check as basic standard.

Sample Critical Element

- **Policy Development** (normally assigned at headquarters level) - Complete policy guidance and instructions on specific subjects in accordance with prescribed guidance objective, milestones and timeline. Work product must be staffed (appropriately staffed with stakeholders), technically sound (e.g., in compliance with applicable legal and regulatory provisions), well researched (e.g., applicable references from authoritative sources), accurate (e.g., validated data, cited references), thorough (e.g., considered all applicable scenarios), offering clarity to the subject (e.g., provide clear discussion on subject), and in alignment with applicable (e.g., legislative and regulatory) authorities.

Sample ERS Critical Element - Processing Personnel Actions

- Effectively process personnel actions in accordance with the Guide to Processing Personnel Actions, and local personnel systems checklists. Work products may include (Name Changes, Within Grade Increases, Pay Adjustments, and Accessions). Work is reviewed to ensure products are well researched, technically sound, thorough, properly staffed, clear, aligned with legislative and regulatory authorities, timeliness, and impact on achieving organizational goals.

Sample ERS
Critical Element - Training

- Effectively accomplish assigned special projects in accordance with established project objectives, achieve expected results, and meet stated milestones/timeliness. Projects include planning, organizing, executing ERS Functional Training conferences. Projects are reviewed for accuracy, compliance with applicable legal, regulatory, and policy guidelines, timeliness, and results achieved.

Measuring Hard-to-Measure Work

Engineer or Contract specialist: Some work seems hard to measure. For example, some supervisors and employees find it difficult on an annual basis to measure the accomplishments of a civil engineer, or contract specialist— especially when the final result of the civil engineer, or contract specialist's efforts may not occur for 2-5 years or more. How can supervisors and employees develop a results-focused annual performance plan for a civil engineer, or contract specialist who has complex, long-term projects? One example is to use measures derived from work flow charting.

Measures Derived From Work Flow Charting. Supervisors and employees can organize long-term, complex projects into interim accomplishments by charting the flow of the work. A work flow chart maps the major steps in a project by beginning with the first step, defining each successive step, and ending with the result. If a result does not occur annually, at least supervisors and employees can measure interim accomplishments. By analyzing the activities of a civil engineer, or contract specialist who may have multiple projects to complete during the next few years, the following interim and final accomplishments become evident:

Work Flow Chart for civil engineer, or contract specialist

Step 1 - Project Plan(s)
Activities that produce this interim accomplishment include:
1. Identifying avenues of project research;
2. Gathering initial information;
3. Completing analysis; and completing design.

Step 2 - Research Milestones
Activities that produce this interim accomplishment include:
1. Conducting project research;
2. Performing experiments; and
3. Recording findings.

Step 3 - Written and/or Verbal Report(s)
Activities that produce this final accomplishment include:
1. Publishing results; and
2. Preparing verbal presentation.

Example Critical Element. By using the method described above and focusing on employee accomplishments, supervisors and employees might develop a performance plan that includes the following job objectives:

Critical Element 1: Project Plan(s)
      Fully Successful Standard: The supervisor typically finds that the employee completes project plans by established deadlines and the plans usually include:
          1. A clear, understandable objective;
          2. A description of how the project aligns with the agency's strategic goals;
          3. Realistic proposed costs;
          4. A logical statement of the problem;
          5. A thorough description of the proposed approach;
          6. A reference to applicable recent results; and
          7. Realistic milestones.

Critical Element 2: Project Research Milestones
      Fully Successful Standard: The supervisor typically finds that the employee completes research according to the specifications described in the project plan, and that the employee consistently follows safety regulations. The employee consistently completes established milestones.

Critical Element 3: Research Report(s)
      Fully Successful Standard: The supervisor typically finds that written and oral presentations are clear, understandable, demonstrate an expertise in the field and a proactive and innovative approach to advancing the field of research, and meet the deadlines established in the project plan.

Measuring Hard-to-Measure Work

Administrative Assistant or Secretary: Several supervisors have told us they have difficulty measuring the results of their executive administrative assistants, or secretaries' work rather than the activities they perform. The method for measuring work that better fits the secretary's role is a customer-focused method.

Focusing on Customer Expectations. The first step to a customer-focused method is to ask the following questions:
- Who are the secretary's customers?
- What products and/or services do the customers expect?

By asking these questions, a supervisor and secretary could develop the following list of customers and their expectations. Note that we list customer expectations as products or services, not activities.

Customers - Expected Products and Services

Supervisor and Staff
- An easy-retrieval file system
- A calendar
- Travel reservations and vouchers
- Correspondence in draft

Other Agency Offices and the Public
- Information
- Messages

Administrative Officer
- Time and attendance records

Example Critical Element: By using a customer-focused method, and by describing the results of the secretary's activities rather than the activities themselves, supervisors and secretaries might develop a performance plan that includes the following job objectives:

Critical Element 1: Administrative Support. Products or services include a file system, time and attendance records, a calendar, travel arrangements, and draft correspondence. Files are easily retrievable, logically organized, clearly labeled, and neat, with documents usually filed within 3-5 days of receipt; Time cards correctly reflect information provided by employees, comply with established procedures, are successfully entered into the automated system, and submitted to the Administrative Officer by established deadline, with no more than three noted errors per quarter; Calendar is consistently accurate with proper additions and deletions, reflecting realistic scheduling, with changes made quickly, and a hard copy provided to supervisor in accordance with personal preference, with no more than three noted errors per quarter; Travel arrangements are realistic, meet the traveler's expectations in terms of timeliness and accommodation to extent possible, and confirmation is received prior to travel. Travel orders and vouchers are completed in accordance with regulations, policy, and automated procedures. Vouchers are completed usually within 3 days of receipt of traveler's documentation; and Draft correspondence is clear, logical, follows Plain Language guidelines, and is presented to supervisor generally 1-3 working days before due date or 3-5 days after receipt of initiating event.

Critical Element 2: Office Information.   Messages are given to appropriate persons usually within 3 working hours of receipt or when the person returns to the office, and contain the caller's name, organization, phone number, date, time, and subject of the call; and information provided is generally accurate, meets the customer's requirements, and is given from 6 hours to 3 working days after the request is made.

Measuring Hard-to-Measure Work

Supervisor: Writing a supervisor's performance plan can be very challenging. One way to center the plan on what is important is to focus on results. The results of the work of a supervisor include the work unit's products or services as well as the smooth operation of the work unit. The work unit's performance becomes the central measure of the supervisor's performance plan. Getting results requires good management, supervisory, and human resources management skills on the part of the supervisor.

1. **Cascading Organizational Goals to the Work Unit.**
2. **Example.**
3. **Elements and Standards.**

Cascading Organizational Goals to the Work Unit. The first step in developing a supervisor's performance plan is to determine which organizational goal(s) his or her work unit supports or can affect. The next step is to determine the work unit's products or services that support organizational goal achievement. The supervisor can be held responsible for those products or services.

Example. The Supply Management Officer of a military organization wanted to develop job objectives for his/her supervisors that align with organizational goals and that hold the supervisors responsible for their work units' expected accomplishments. He/she also wanted the elements and standards to reflect the supervisors' general management and human resources management skills. By using the goal-cascading method, he/she completed the following steps:

Step 1. Look at the big picture. The manager referred to his/her agency's annual performance plan and targeted the goals that each of his/her supervisors and their work units affect. Specifically, for the supervisor of the widget production work unit, he/she aligned the performance plan with the following organizational goals:

1. The Supply facility will maintain last year's high customer satisfaction with the timeliness and quality of the supply warehouse's products, which include widgets.
2. The supply warehouse will provide a safe working environment for its employees.
3. The supply warehouse will promote effective leadership and employee productivity.

Step 2. Describe the products and services the work unit provides to help the organization reach its goals. For the widget production work unit, the manager determined that the product of the work unit, of course, was widgets. In addition, in order to produce widgets, the work unit must have a safe and productive working environment and good leadership.

Step 3. Develop work unit measures and set standards for performance. The Supply Manager determined that the following measures were important to include in the supervisor's performance plan:
1. The quality, quantity, and timeliness of the widgets produced by the work unit;
2. The safety of the workplace; and
3. The quality of supervisory leadership shown, which results in productive subordinates.

By cascading organizational goals to the widget production work unit, the manager wrote the following job objective for the supervisor of that work unit:

Critical Element 1: Widget Production
  Fully Successful Standard:
1. Usually 90 to 95 percent of the work unit's pallets have no defects;
2. With few exceptions, the work unit has no more than 1.5 to 2 hours of down time per week;
3. Normally, the work unit meets its production schedule 5 out of 7 days; and
4. Normally, the work unit meets its shipment schedule 5 out of 7 days.

Critical Element 2: Safe Work Environment
  Fully Successful Standard:
1. The supervisor corrects or improves safety problems usually by agreed-upon date;
2. The supervisor routinely holds one safety audit per week; and
3. The work unit rarely has any lost time hours.

Critical Element 3: Effective Leadership
  Fully Successful Standard:
1. The supervisor periodically initiates ways to reduce costs;
2. Most of the supervisor's decisions benefit the organization and are generally satisfactory;
3. The supervisor provides discipline fairly and consistently;
4. Work unit training requirements are met;
5. Most work unit members understand the department's goals and how their performance affects these goals;
6. Work unit members understand how they are performing against their individual elements and standards; and work unit members receive rewards for good performance.

Writing Effective Self Assessments

Overview

- **What is a Self Assessment?**
- **Getting Started**
- **Writing the Self Assessment**
- **Characteristics of Significant Accomplishments**
- **Helpful Hints** - Things Not to Do
- **Helpful Hints** - Things to Do
- **Performance Appraisal Application (PAA) Tool**

What is a Self Assessment?

- A self assessment is your description of accomplishments related to the critical elements and performance standards identified in your performance plan.

- The self assessment should provide the supervisor with a clear picture of your performance and accomplishments.

Getting Started

- Review your organizational goals and critical elements

- Review records of your work (emails, memos, project files, productivity records)

Establishing a Recording System

- Create a system for recording accomplishments. This can be hard copy or electronic, depending on what works best for you. Some suggestions include:
    - Files of Work Products
    - Statistical data or other metrics
    - E-mail Folder (Create separate folder for performance related items)
    - Letters, memos, or email correspondence. *Word Document, updated as needed
    - Notes on Planner or Calendar
    - File Folder(s) to maintain copies of documents
    - Establish a process for reviewing and recording your accomplishments on a regular basis, e.g., once a week. Make a note of significant items, or put a copy into your file. Identify the critical element which is linked to the accomplishment.

Characteristics of
Significant Accomplishments

Competing priorities

- High visibility
- High level of difficulty
- Represent the Org/Unit in inter/intra agency forum(s)
- Require innovation
- Require problem solving skills

Org/Unit-wide impact

- Lead special group/project
- Short deadlines
- Wide scope of coordination
- First time

Self Assessments
Using the STAR Format

The S.T.A.R. format is an easy and short way to capture performance activities and accomplishments.

The STAR Format

- **S**ituation: Describe the conditions under which you achieved your critical elements

- **T**ask: Describe what you did during the year to create the results you achieved.

- **A**ctivity/**A**ction: Include additional activities you completed, or actions you took that contributed to your results

- **R**esult: Describe what you accomplished.

STAR Examples

For each Critical Element…
answer the following questions

- **Situation:** What was the situation I faced?

- **Task:** What was my task in that situation?

- **Activity:** What activity/action did I take?

- **Result:** What result(s) did my action(s) produce?

Self Assessments Are Optional
However, you are your First and Best Advocate!

- Self Assessments for the Interim Review and Annual Appraisal are entered into the automated Performance Appraisal Application Tool.
  - Review your critical elements
  - Review your record of accomplishments
  - Determine which accomplishments are the most significant in terms of contribution to mission and organizational goals
  - Must have at least one accomplishment for each critical element.

Writing the Self Assessment

- Draft and save as a "Word" document
- Address each critical element
- Focus on the results; your contributions to the mission and accomplishments
- Be specific, factual, clear, and concise
- Check grammar and spelling
- Use action verbs, active voice

Helpful Hints - Things Not to Do

- Do not use the task oriented language from your position description

- Do not list accomplishments without referencing the critical element

- Do not use terms or acronyms that others may not know

- Do not assume that your supervisor or reviewing official is familiar with every detail of your job

Helpful Hints - Things to Do

- Be Aware of Limited Space in the Automated Tool

  - Interim Review Self Assessment, limited to 2000 characters

  - Annual Appraisal Self Assessment, limited to 2000 characters

Performance Appraisal Application Tool

- Electronic support tool accessed by *My Biz* and *My Workplace* via DCPDS
- Helps employees and managers/supervisors manage performance
- Streamlines processes
- Automates documentation requirements
- DCPDS requires CAC Card to access
- User guide available with sections for the employee and the rating official

Performance Appraisal Application Tool

MyBiz (Employee's Access):

- Initiate or participate in developing your performance plan.

- View and edit information related to your plan.

- Enter critical elements, self-assessments, and other information related to your performance plan and annual appraisal.

- Route information to your rating official.

- Acknowledge that performance-related results have been communicated to you.

Performance Appraisal Application Tool

MyWorkplace (Rating Official's access):

- Initiate and edit information related to your employee's performance plans.
- Enter critical elements, assessments, and other information related your employee's performance plan and appraisal.
- Route plan and appraisal information to your employees.
- Submit final ratings.
- Edit ratings.
- Change rating official assignments.

Questions

15 Minute Break

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Participant's Guide
for Table Top Exercise

Table Top Exercise

STAR Exercise

Based on One Critical Element – Write A Self Assessment by answering the following questions

- **Situation:** What was the situation I faced?

- **Task:** What was my task in that situation?

- **Activity:** What action(s) did I take?

- **Result:** What result(s) did my action(s) produce?

Summary

- The employee self assessment is a critical part of the Performance Appraisal Program.

- Provides an opportunity for you to highlight your significant accomplishments

- Focuses on results

- Remember that substance is more important than writing style.

- Self assessment are reviewed by your rating officials and considered in preparing your annual appraisal.

- Though optional - your own self assessment provides an opportunity for you to communicate with your rating official on your performance

Questions

Complete Course Evaluation