

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

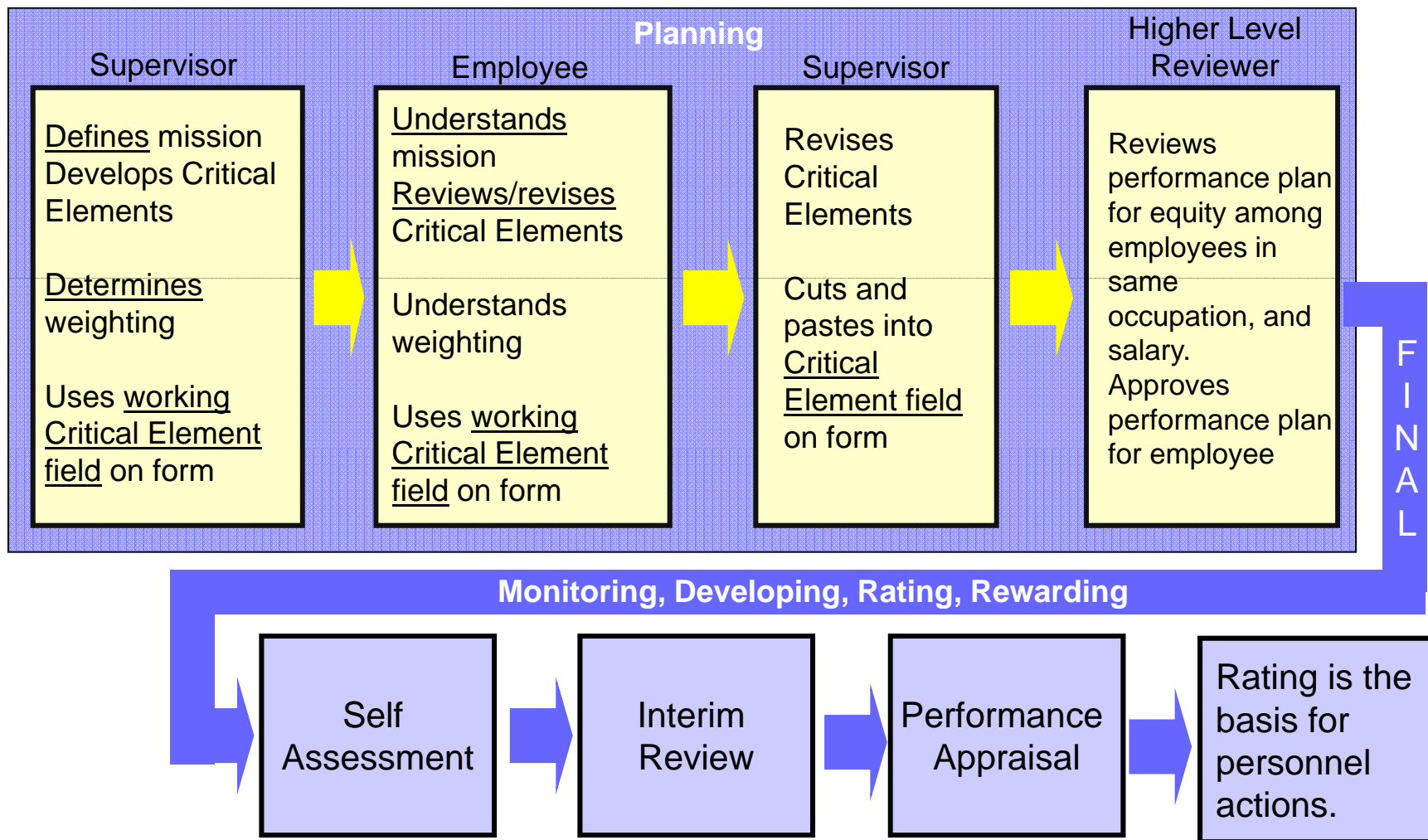
- Annual Appraisal Cycle: 1 Oct – 30 Sep*
- New Terms
- Summary Pattern: Level 1 thru Level 5
- Mandatory Interim Review
- Mandatory Supervisory “Critical Element”
- Close Out Assessments
- New NGB Form 430
- PAA accessed through MyBiz and MyWorkplace

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



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:

- Focus on the results and contribution
- Describe “what” the person will accomplish
- Employee responsible for outcome

Task Descriptions:

- Focus on the tasks or activities completed
- Describe “how” the person will do the work
- 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 Specific

- 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)

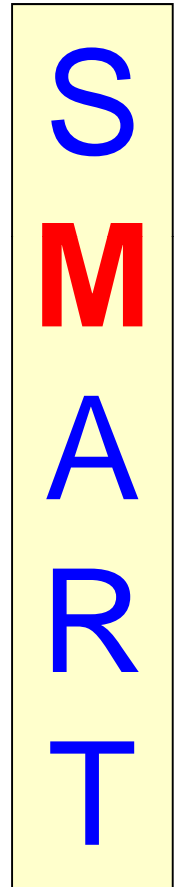
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Example: “Specific” Critical Element

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)



Example: “Measurable” Critical Element

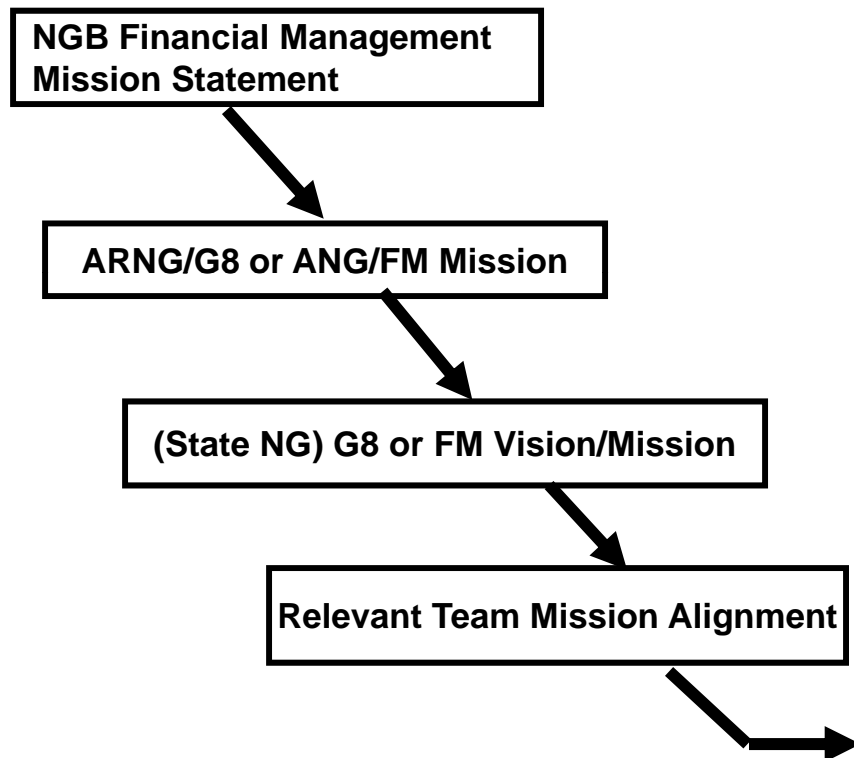
Provides *accurate and timely advice* and guidance on an “as needed basis” to headquarters staff and managerial accountants in the field – resolving normal issues/inquiries *in 5 – 7 business days*, for more complex situations an initial response should be given *in 5 – 7 business days and updated until 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 Aligned

- 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



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 Timed

- 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

- **Quantifiable Results** – 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

- **Special Projects** - 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

- **Administrative Work** - 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.