

CHAPTER 11

PERSONNEL MANAGEMENT EVALUATION

SECTION 1 - GENERAL

11-1. Purpose of Personnel Management Evaluation. Evaluation is an essential component in the personnel management process. Its purpose is to give managers at all levels an insight to guide their operations with maximum effectiveness of human resources and within policies, regulations, standards, and law. This is accomplished by determining how well objectives are being met through personnel management and the impact of human resources on mission accomplishment.

11-2. Scope of Personnel Management Evaluation. Personnel management evaluation in the National Guard will be directed towards the impact the technician workforce has on mission accomplishment. The scope is not intended to evaluate the military organization or the results of military effectiveness. However, results of military effectiveness may be used as source material for locating weaknesses in technician personnel management. Personnel management evaluation will be limited to assessing the technician program in support of the National Guard mission. Evaluation is not a pass-fail system and is not intended to be a grading exercise.

11-3. Definitions. The following is a list of terms and their definitions that will be used throughout this regulation. All personnel managers should be thoroughly familiar with them in order to effectively evaluate personnel management.

- a. **Personnel Management.** Personnel management in the Federal Service is planning for, acquiring, developing and utilizing people with the knowledge, skills, abilities, and attitudes necessary to get the mission accomplished while adhering to the requirements of public policy.
- b. **Personnel Administration.** Personnel administration is the programs, systems, procedures, and techniques used or developed primarily by personnel specialists and technicians to help managers and their legal, regulatory, or public policy obligations. It is a significant element of personnel management frequently mistaken for the whole.
- c. **Personnel Management Responsibility.** Personnel management generally flows from three major centers of responsibility that are found at various levels and in varying degrees in any organization.
 - (1) The first center is top management. This is a relative term since top management means the responsible manager at the level of the organization to be reviewed.
 - (2) The second center of responsibility is the supervisor. He is the agent who carries out the dynamic person-to-person relations that directly affect employees in carrying out their jobs.
 - (3) The third center of responsibility is the Human Resources Officer and other staff officials involved in the personnel program management (i.e., State Equal Opportunity Officer, Federal Women's Program Coordinator). Their basic responsibility is to help the other two levels in managing human resources.
- d. **Manpower Management.** Manpower management includes the determination of current manpower requirements, the analysis of current manpower requirements, the analysis of current manpower resources, the forecasting of future manpower requirements, and action plans to bring about an acceptable balance between the two. It is also a significant element of personnel management.

- e. **Public Policy.** Public policy is an expression of law, regulation, court decisions, presidential directives, and tradition. It embodies the principle of how people are hired, paid, trained, developed and utilized, promoted, separated, and treated; the standards of conduct they must meet as public employees; how equal opportunity is applied to all citizens; and how the Federal Government gets its work done through people.
- f. **Agency.** An administrative division of government with specific functions.

11-4. Applied Policies. The following policies and principles are established and must be applied at all levels of management and supervision. In applying these policies and principles, the military concepts essential to the National Guard must also be recognized.

- a. There will be no discrimination because of race, sex, marital status, age, color, religion, national origin, physical handicap, lawful political affiliation, or labor organization membership. Federal policies covering affirmative action will be followed.
- b. Personnel who fully meet technician and military qualification requirements will be placed in jobs for which they are best qualified and selections to fill positions shall be made impartially on the basis of merit and fitness and according to the military needs of the National Guard.
- c. Work performance will be evaluated fairly and objectively on a continuing basis.
- d. Working conditions will be made as safe and healthful as possible.
- e. Personnel will be encouraged to express themselves concerning improvement of work methods and working conditions.
- f. Technicians will have the right, without interference, coercion, restraint, or reprisal, to join or refrain from joining any lawful labor organization or employee association. Where technicians will endeavor to build a relationship with that organization based upon mutual respect and trust.
- g. Any technician having a grievance or complaint will be accorded a fair and prompt discussion with the supervisor immediately concerned and, failing prompt and satisfactory adjustment, will have the right to pursue the matter under a state or negotiated grievance procedure.
- h. Technicians will have the right to discuss problems with the appropriate office without interference, coercion, restraint or reprisal; labor organization representative; a person designated to provide guidance on questions of conflict of interest; or a supervisory or management official of higher rank or level than the immediate supervisor.
- i. Technicians will have the right to participate or not to participate in voluntary fund raising campaigns and purchase of U.S. savings bonds without compulsion, coercion, or reprisal.

11-5. Responsibilities.

- a. **Office of Personnel Management.** The OPM, by virtue of laws, executive orders, and presidential memoranda has primary responsibility for administering a personnel management evaluation system to the head of each agency. Accordingly, OPM has established itself as the System Manager for Personnel Management Evaluation (PME) in the Federal Service. In this regard, OPM also exercises responsibility for coordinating with agencies in the operation of agency personnel management evaluation systems.

b. The National Guard Bureau. The National Guard Bureau is a joint bureau of the Department of the Army and the Department of the Air Force. It is the channel of communication between the Departments concerned and all States, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, and the District of Columbia on all matters pertaining to the National Guard as provided in 10 U.S.C. 3015. The National Guard Bureau is headed by a Chief who is the advisor to the Army Chief of Staff and the Air Force Chief of Staff on National Guard matters and who is responsible for exercising the authority that is delegated by the Secretaries concerned. This authority includes acting for the Secretary concerned with respect to administration of the technician program subject to policies expressed by the Departments of the Army, Air Forces and the Office of the Secretary of Defense. The Chief, National Guard Bureau, in turn delegates authority as deemed necessary to the Chief, Office of Technician Personnel for administering the technician program. This authority includes directing corrective action on any matters not found to be in accordance with applicable laws, rules, regulations, or NGB policy.

c. The Adjutant General. The Adjutant General has full authority and responsibility to employ and manage all technicians of the Army and Air National Guard within the State according to the objectives, policies, and procedures in applicable regulations. All personnel actions will be in accordance with applicable Federal statutes, regulations, and public policy.

d. Managers and Supervisors.

(1) Managers are responsible to the Adjutant General for effective leadership and management of the organizational segments of the work force under their control. Managers are responsible for coordinating with military commanders to ensure that objectives, policies, and actions contribute to the military mission of the National Guard. They are directly responsible for the development and effective use of subordinate supervisors, for effective participation in personnel management program planning and evaluation, and for establishing a work environment that will produce positive employee motivation and maximum performance.

(2) Supervisors are an important segment of the management team. They have inherent responsibilities for the day-to-day direction of the work of others. Incumbents of supervisory positions should hold military positions that include supervisory skills at levels that provide broad knowledge of the military. Supervisors should be delegated the authority to recommend or initially approve formal personnel actions and other authorities commensurate with supervisory responsibilities.

(3) Managers and supervisors should actively seek assistance of their personnel offices not only in terms of individual actions or specific problems, but also on matters of much broader scope, such as: (1) developing improved position structures, (2) improving the competence and motivation of the work force by using incentives and by identifying training needs, (3) providing and evaluating training and development opportunities, (4) developing future staffing plans, taking into consideration changes in mission and military reorganizations that are forecast, (5) improving communications (6) insuring promotional opportunities, (7) dealing effectively with labor management issues, (8) taking actions to assure that military membership requirements are met in the National Guard technician program, and (9) meeting EEO objectives and responsibilities.

e. The Human Resources Office. The Human Resources Office (HRO) is a staff function of the Office of the Adjutant General and constitutes the staff element through which the Adjutant General discharges obligations for administration of the Mississippi National Guard full-time support personnel programs.

(1) The HRO will be consolidated and will be responsible for technicians and military duty administrative responsibilities as prescribed by National Guard regulations, the Federal Personnel Manual and related issuance's, statutes governing labor management relations, Executive Orders, and other appropriate authority. The HRO will be a centrally located office in the State; all HRO records and authorized staff will be located together to facilitate a single point of contact for personnel.

(2) The Adjutant General may assign certain personnel support duties to designated position at a remote location where there is a concentration of technicians. These duties will enhance the timeliness and quality of personnel services, and will concern matters that are of a routine nature but that are an important feature of prompt service to employees. The incumbent of such a position will receive technical guidance from the human resources officer or HRO staff. The number of technicians so designated will not reduce the manpower resource of the HRO.

(3) Services provided by the HRO to all activities must be equivalent in extent and quality regardless of geographical dispersion of any activity. This office provides management and staff assistance for full-time employee programs (both military and technician) and provides professional advice to managers and supervisors through continuous day-to-day contact. In this respect, the HRO responsibilities include, but are not restricted to, the following activities:

- (a) Developing and administering State-level personnel management programs, policies, and procedures for all full-time personnel resources.
- (b) Providing manpower management services.
- (c) Advising management and supervisors on policies affecting full-time resources.
- (d) Establishing procedures to monitor and control compatibility according to National Guard criteria and policy.
- (e) Maintaining accurate and timely automated personnel management information.
- (f) Managing equal employment opportunity programs for fulltime personnel.
- (g) Advising and assisting managers and supervisors in the conduct of effective labor-management relations and employee relations programs.
- (h) Establishing a position management program at State level, and accomplishing position classification responsibilities as required.
- (i) Establishing local policies and regulations for placement, appointment, promotion, reduction-in-force, performance management, training, and other phases of personnel programs as necessary. Advising managers and supervisors on these personnel programs.
- (j) Establishing and maintaining required records and files, and furnishing reports.
- (k) Administering hours of work and leave programs.
- (l) Advising and assisting management on effective personnel management evaluation.

SECTION II - STATE PERSONNEL MANAGEMENT
EVALUATION PLAN

11-6. The Evaluation Process. An evaluation phase is required in order to have an effective management cycle. A personnel management cycle consists of planning (goal setting), implementing (operations), evaluating (analysis and feedback), and revising (correction). A further breakdown of the elements of the evaluation phase is made: planning the evaluation, collecting information, analyzing information, providing feedback, and taking action.

11-7. Responsibilities. The Adjutant General has overall responsibility for implementing State evaluation system. The Adjutant General will designate the Human Resources Officer or a senior personnel specialist in the HRO to serve as evaluation coordinator. The coordinator will have the following responsibilities:

- a. Develop State personnel management evaluation procedures according to NGB regulations.
- b. Initiate evaluation activity. May serve as team leader. Serves as advisor to the PME team.
- c. Designate evaluation team members (in conjunction with team leader).
- d. Designate those activities selected for review (in conjunction with team leader).
- e. Notify all parties involved sufficiently prior to the review.
- f. Assign team responsibilities (in conjunction with team leader).
- g. Serve to catalyze the analysis of information and any problem/solution determinations.
- h. Properly staff all proposed or required actions resulting from a review.
- i. Follow up on actions to be taken.
- j. Arrange for administrative support for the PME team.

11-8. Personnel Management Goals. A required part of the State level evaluation system is the development of personnel management goals. Goals must be specific so they can be monitored. Goals should support mission objectives and include target dates and names of responsible officials and organizations where appropriate. Goals can be readjusted to meet changing priorities and needs. Goals should be in writing and:

- a. Complement the annual budget process.
- b. Support NGB personnel management policies.
- c. Specify what is to be accomplished.
- d. Reflect local needs.
- e. Be measurable.

11-9 Feedback and Action. The State level system must include feedback to management on progress toward personnel management goals. Feedback can be accomplished through the evaluation report or other written or oral communication systems. Feedback must reach the management level with authority to take action. Action must be taken in response to evaluation findings. Action can be immediate, projected with specified timetables, or deferred for specified reasons.

11-10 Frequency of Evaluation. The frequency of evaluation activity conducted by the State will be at State discretion. Some factors affecting frequency are geographic dispersal of work force, extent of delegation of personnel management authority, resources available, sources of information, and needs for information. Annual evaluations need not cover an entire State's installations, activities, or units at one time; nor must all programs be covered during each review.

11-11 Team Composition. The evaluation team can be appointed at the time of each review, be appointed as a standing committee, or assigned on a rotational basis. The team must consist of Army and Air National Guard managers (to include key staff members) and should be limited to from two to five members at any time. Most review work should be confined to one week. Care must be taken to select members with no time conflicts and who have demonstrated an enthusiasm for and interest in improving management practices and regulatory compliance. Team members should have a broad understanding of the interrelationships of personnel policies, practices, and regulations and mission accomplishment. A team leader must be designated.

11-12 Planning and Conducting the Review.

- a. The team leader must plan the extent of the review and the methods that will be used to gather information. The following decisions must be made, and actions taken, by the team leader in conjunction with headquarters staff.
 - (1) Problems, weaknesses, and deficiencies in personnel management must be identified. Personnel programs that are being emphasized as priority areas by NGB or Office of Personnel Management should be viewed as potential local areas for review.
 - (2) Objectives of the review must be outlined.
 - (3) Team members must be selected, if not done previously.
 - (4) Team member assignments must be made.
 - (5) Any field activities selected for review must be notified. Notification should be made 30 to 45 days prior to the review, either orally or in writing. Review requirements should be thoroughly explained to activity managers.
 - (6) Any interviews should be arranged. Interviews should be categorized into managerial, supervisory, and non-supervisory.
 - (7) Any official personnel folders and personnel actions to be reviewed should be selected and the reviewer determined.
 - (8) Any necessary statistics should be decided upon and a determination made as to method of collection.
 - (9) The amount of time required to complete the review should be specified.
 - (10) Team meetings should be prearranged. Meetings are necessary to discuss details, assign responsibilities; review information collected, and analyze problems; and decide on feedback, recommendations, or required actions. Several team meetings may be necessary.
 - (11) A summary of problems, recommendations, or required actions should be prepared.

- b. Conducting the review need not require undue formality. Some time may be required to orient activity managers and introduce team members when field activities are reviewed. Closing conferences may be held with activity managers to discuss findings and possible corrective action. Team leaders should be alert to opportunities to jointly work out solutions with activity managers.
- c. The most difficult processes in the review are analyzing the information and finding a solution. The following points are aids to the analysis process:
 - (1) Specify regulatory violations and classification errors.
 - (2) Specify deviations from program requirements.
 - (3) Specify unsatisfactory progress towards goals.
 - (4) Specify undesirable trends based on statistics, program activity, or productivity.
- d. The following points are aids in resolving problems:
 - (1) Determine the cause using all possible data and input from managers.
 - (2) Determine whether the cause requires either program adjustment, goal organizational adjustment, goal adjustment, individual case action adjustment, or operating procedure adjustment.
 - (3) Obtain management commitment to solution alternatives by involving managers in the solution formulation process.

11-13 Techniques for Effective Personnel Management Evaluation. The following are general comments for evaluation teams, which are to be considered for the conduct of reviews.

- a. In evaluations, a first approach to gaining a broad idea of trends in personnel management is to review State policies and regulations pertaining to technicians. Personnel publications should be thoroughly reviewed to determine if, when put in operation, they are meeting state personnel management objectives. Personnel publications must be able to determine how well supervisors and technicians are accepting their responsibilities in accordance with State delegations of authority and instructions. State policies and regulations governing technicians must be reviewed for compliance with appropriate Federal policies and regulations.
- b. The team leader may plan to have team members conduct interviews with a representative cross section of supervisory technicians, non-supervisory technicians, and program managers to determine how well State policies and regulations are being carried out. Team members should avoid expressing personal bias or opinion during an interview, but should strongly impress upon the interviewee that information received from the interview is strictly confidential. The Interview technique will be invalid if it does not allow for complete freedom of expression of ideas by the interviewee. The following are effective techniques to employ in an interview.
 - (1) Ask probing questions, not the kind that can be satisfied with a yes or no answer.
 - (2) Listen more than talk, this allows for the interviewer to receive more information.
 - (3) Take plenty of notes, but be cautious not to refer to individuals or organizations. The interview is used to determine how well State personnel management programs are working, not to evaluate individuals.

- c. An analytical review of inspector general reports, organizational readiness inspection and management effectiveness inspection reports, manpower analysis reviews, NGB evaluation reports, and other NGB correspondence are useful in State evaluations. They point out to the State those areas of personnel management that need further evaluation to achieve improvements leading to more effective accomplishment of the mission.
- d. A review of personnel actions, based on records in the personnel office, should be used in every evaluation to ensure regulatory compliance. Available records include chronological files of Standard Form 50, official personnel folders, merit promotion action files, service record cards, grievance and adverse action files, and functional personnel files on incentives, training, and position management. Personnel specialists from the HRO should conduct these reviews during the year or should be available to explain regulatory aspects of actions if team members other than personnel staff are involved in personnel action reviews. The Automated Data Processing System (TPMIS) should be both used as a source of personnel action evaluation information and reviewed for proper operations.
- e. After sufficient information has been obtained, it should be analyzed to determine how the program or practices deviate from that problem or undesirable deviation should be identified and an appropriate solution determined. Solutions should be in the form of either recommendations or required corrections, as appropriate. Solution development should be a joint responsibility of management and the evaluation team; therefore, alternative solutions should be addressed and all actions appropriately staffed. Implementation of major changes in programs, goals, or other aspects will require Adjutant General approvals and may require labor-management involvement.