

**Military Technician Personnel**  
**TECHNICIAN PERFORMANCE APPRAISAL PLAN**

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This Plan is applicable to the National Guard of Arizona. Any previous guidance pertaining to the Technician Performance Appraisal System is hereby rescinded. Supplementation of this Plan is not authorized.

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Distribution:  
A, B, C

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- REFERENCES:** (a) DOD Directive 1400.25, "DOD Civilian Personnel Management System," November 25, 1996  
(b) Chapters 23, 43, 45, 53 and 71 of Title 5, United States Code  
(c) Title 5, Code of Federal Regulations, Parts 430, 451 and 531  
(d) National Guard Technicians Act of 1968 PL 40-486 (as amended)  
(e) Technician Personnel Regulation No. 430 dated 1 October 1997.

- DEFINITIONS:** (a) MS = Meets Standards (Fully Successful)  
(b) DNMS = Does Not Meet Standards (Unacceptable)  
(c) Supervisor/Manager = Employee whose Position Description is defined as Supervisor (i.e., WS-XX or Supervisory GS)

1. **PURPOSE:** This Plan establishes a "two tier" (meets standards/does not meet standards) performance appraisal system for Arizona National Guard Technicians, and is consistent with the requirements of TPR 430 dated 1 October 1997. Two standard Technician Performance Plans (incorporating the minimum performance standard requirements) are established, one for use with Supervisory/Managerial positions and one for Non-Supervisory positions. Standard Technician Performance Plans are in Annex A.

2. **OBJECTIVE:** The objective of the Arizona National Guard Technician Appraisal Plan is to provide a meaningful and efficient method for evaluation of individual performance.

3. **APPLICABILITY:** This Plan is applicable to all full time and part time, excepted and competitive technicians. This Plan does not apply to temporary technicians whose employment is not reasonably expected to exceed the minimum performance standards requirement (120 calendar days) in a consecutive 12 month period.

4. **RESPONSIBILITIES:**

A. The Chief, National Guard Bureau, through the Director of Human Resources (NGB-HR) is responsible for the establishment, management and evaluation of the National Guard Performance Appraisal System.

B. The Human Resources Officer (HRO) is responsible to the Adjutant General (TAG) for:

(1) Establishing a Performance Appraisal Program that provides a meaningful, efficient method for evaluation of individual performance in partnership with technicians and their union representatives in accordance with law.

(2) Administering the State Performance Appraisal Program. Providing timely advice and assistance to managers, supervisors, and technicians.

(3) Developing and conducting training necessary to ensure that all technicians (and non-technicians involved in the technician appraisal process) are adequately trained in the Arizona National Guard Technician Performance Appraisal Plan.

(4) Notifying supervisors and managers of due dates for technician performance appraisals and following up when they are not received in a timely manner.

(5) Reviewing completed appraisals for timeliness, completeness, and conformance with the regulatory requirements of the Arizona National Guard Technician Performance Appraisal Plan.

(6) Keeping necessary records. Maintaining an Employee Performance File on each technician covered by this Plan, to include as a minimum, the most current performance standards and current plus two previous performance appraisals.

(7) Evaluating the effectiveness of the Arizona National Guard Technician Performance Appraisal Plan and bringing to the attention of the Adjutant General those areas needing refinement or improvement.

(8) Ensuring that necessary personnel actions or decisions based on the performance appraisal are carried out.

(9) Establishing and administering the state review and appeal process.

C. Managers, Supervisors and Technicians are collectively responsible for:

(1) Individual, team and organizational performance and for creating a work culture and environment that promotes a high-performance, high-involvement organization.

(2) Cooperating in establishment of written performance standards and critical job elements for each individual position.

(3) Maintain an ongoing dialogue that will keep technicians informed as to how their performance compares to established performance standards and provide a clear understanding of the level of performance required for an "MS" appraisal.

**5. PERFORMANCE STANDARDS:** Technicians covered by this Plan must have approved written performance standards based on position descriptions, work assignments and responsibilities. The minimum standards established by this Plan are detailed in Annex A. Additional performance elements may be added to the Technician Performance Plan at the discretion of the supervisor. The Performance Plan shall cover the official appraisal period, and will be provided to the employee within 30 calendar days of the beginning of the official appraisal period. Employees are encouraged to participate in the establishment of Performance Plans. Performance Plans (Annex A) may contain any combination of critical, non-critical, and additional elements reasonably related to the job. However, each Performance Plan will have at least one critical element that addresses individual performance.

**6. TRIAL/PROBATIONARY APPRAISALS:** New technicians are to be carefully observed and appraised during the trial/probationary period to determine whether they have the qualities needed for permanent Government service. During this period, supervisors should provide specific training and assistance to improve the technician's work performance if needed. For retention beyond the trial/probationary period, the technician's work performance must minimally be at the "MS" level. If retention is not recommended, supporting documentation will be forwarded to the HRO who will then take appropriate action to remove the technician from Federal service. Initiation of a removal action may be taken anytime during the trial/probationary period. A technician serving a trial/probationary period is not to be given an official performance appraisal until after completing the required 12 months of Federal service. After completing the 12 months of service, he/she would then be given an official performance appraisal in accordance with the established appraisal period in paragraph 10 below.

7. **DETAILS:** When a technician has been officially detailed to another position, either with the same or with a different supervisor, for a period covering 120 days or more, written performance standards and critical job elements will be established for this position. The technician's performance while on detail will be appraised by the supervisor of the functional area where the employee is detailed.

8. **POSTPONEMENT OF ANNUAL PERFORMANCE APPRAISALS:** Annual performance appraisals may be postponed (with documentation of circumstances) when the immediate supervisor has not had enough time to observe the technician's performance in his/her present assignment because: (1) the supervisor or the technician is newly assigned (less than 120 days); (2) the technician has not been performing the regularly assigned work because of extended details or absences; or (3) the technician has not worked under the performance plan for at least 120 days. Requests for postponement of appraisal due dates will be sent through the HRO for approval and update to the suspense system. The supervisor will complete the appraisal as soon as the 120 day requirement is met. Postponement of due dates does not change the dates of the regular annual appraisal period.

9. **DOCUMENTATION:** Supervisors/managers will forward completed appraisals to the Human Resources Office, through appropriate channels, not later than 30 calendar days after completion of appraisal period. The Human Resources Office will enter performance standards and performance appraisal data into the automated tracking system (DCPDS). Human Resources Office will maintain an Employee Performance File on each technician covered by this plan to include most current performance standards and current plus two previous performance appraisals. Official performance records are available for review by the technician and his/her designated representative. These include, but are not limited to, performance standards, appraisals, certifications in connection with within grade increases, incentive awards determinations, trial/probationary period certification, and other related personnel management documents. During the processing phases of performance appraisals, only individuals directly in the technician's chain of command, those having the right under 5 U.S.C. Chapter 71 Section 7114(b)(4), and those with an official need to know in the performance of their assigned duties will be permitted to review performance appraisals. This applies even after the final action has been accomplished.

10. **APPRAISAL PERIODS:** Supervisors/managers must give employees one regular annual appraisal each year based on the following birth month schedule.

BIRTH MONTH	APPRAISAL PERIOD	APPRAISAL DUE DATE
January	1 Jan - 31 Dec	31 Jan
February	1 Feb - 31 Jan	28 Feb
March	1 Mar - 28 Feb	31 Mar
April	1 Apr - 31 Mar	30 Apr
May	1 May - 30 Apr	31 May
June	1 Jun - 31 May	30 Jun
July	1 Jul - 30 Jun	31 Jul
August	1 Aug - 31 Jul	31 Aug
September	1 Sep - 31 Aug	30 Sep
October	1 Oct - 30 Sep	31 Oct
November	1 Nov - 31 Oct	30 Nov
December	1 Dec - 30 Nov	31 Dec

When a performance appraisal cannot be prepared at the time specified above, the appraisal period will be extended to meet the minimum performance period of 120 days. In addition, supervisors/managers will provide the employee at least 1 mid-term progress review to be recorded on the Performance Plan (Annex A).

11. **COMMUNICATION:** Supervisors must provide ongoing performance feedback to technicians, in the form of progress reviews. To the maximum extent possible, progress reviews shall be informative and developmental in nature and shall focus on how to improve future performance.

12. **INCENTIVE AWARDS:** Eligibility for incentive awards requires an "MS" rating in all elements of the Performance Plan and additional justification in accordance with Arizona National Guard Incentive Awards Plan dated 1 February 1998.

13. **DOES NOT MEET STANDARDS (DNMS):**

A. If the technician does not meet standards in any element of the Performance Plan, the supervisor/manager will implement a formal Performance Improvement Plan (PIP) for the technician. The PIP must specify the deficiencies, outline the methods to bring the technician to the "MS" level of performance, and establish a reasonable time frame for improvement (normally 30-90 days). The PIP may be initiated by the supervisor at any time during the appraisal period that the technician's performance drops to the "DNMS" level. The supervisor must submit the Performance Improvement Plan to the HRO for review prior to implementation.

B. Managers/supervisors will provide proactive assistance to employee to improve unacceptable performance. Assistance may be provided at any time during the appraisal period in which performance is determined to be at the "DNMS" level in one or more critical elements. Technicians who continue to have a "DNMS" level of performance in any one critical element will be removed from that position by reassignment, reduction in grade or removal. No action based on unacceptable performance may be taken until critical job elements and performance standards have been identified in writing, the technician has been given a copy of those standards, and the technician has been given an opportunity to improve his/her performance. Personnel action to remove the technician from the position may only be taken after the "Performance Improvement Plan" (PIP) period has expired. Performance appraisals with any element at the "DNMS" level of performance must be approved by a higher level management official than the rating official. Before initiating any action to reduce in grade or remove a technician based on unacceptable performance, consideration will be given to reassignment to another position for which the technician is qualified. Reassignment may be accomplished anytime during the PIP. Reassignment actions will be processed in accordance with TPR 715, Part 2-5. If a decision is made to reduce in grade or remove the technician from employment following completion of the formal PIP, a technician is entitled to:

(1) Minimum 30-day advance written notice of the action to be taken (reduction in grade or removal), which identifies the critical job element(s) and documented instances of unacceptable performance on which the action is based (see sample letter in Annex B). This advance written notice must be concurred in by an official who is in a higher level position than the immediate supervisor. (This requirement does not apply when the action is being taken by the Adjutant General). Because the technician is given adequate assistance and time to improve performance, this is not a proposed notice, but is a final notice.

(2) If a technician submits a request to his/her supervisor to change an unacceptable performance appraisal, the supervisor will carefully review this information and advise the technician in writing whether the unacceptable performance appraisal is sustained or will be changed. A technician may appeal an unacceptable rating by a request submitted to the State Review and Appeals Board in accordance with instructions in Annex C.

14. **REVIEW AND APPEAL PROCESS:** The Adjutant General is the final appellate authority. This may not be delegated. The state appeals process is described in Annex C. If covered, technicians may use the negotiated grievance procedure in lieu of the state appeals process, but not both.

15. All previously issued guidance pertaining to the Technician Performance Appraisal System is hereby rescinded.

The proponent of this regulation is the Human Resources Office. Users are invited to send comments and suggested improvements to the Office of the Adjutant General, 5636 E. McDowell Road, Phoenix, AZ 85008-3495, ATTN: AZAA-HRS-ER.

BY ORDER OF THE GOVERNOR

SIGNED ORIGINAL ON FILE

# TECHNICIAN PERFORMANCE PLAN

(SUPERVISORY)

Employee Name: \_\_\_\_\_ SSN: \_\_\_\_\_ Date: \_\_\_\_\_  
Title/Grade/Series: \_\_\_\_\_  
Rating Date From: \_\_\_\_\_ To: \_\_\_\_\_ Organization: \_\_\_\_\_

## **PERFORMANCE STANDARDS ELEMENTS**

(MUST IDENTIFY A MINIMUM OF 1 CRITICAL ELEMENT, PLEASE CHECK APPROPRIATE BOX(S) AT LEFT)

- Organizational Goals/Objectives**
  - Establishes objectives and sets priorities to meet the organizational goals
  - Actively seeks input and consensus in planning and implementing unit/organizational initiatives
  - Effectively allocates resources

**Meets Standards**                       **Does Not Meet Standards**
  
- Leadership**
  - Develops effective and cooperative working groups/teams where members share responsibility for team success
  - Uses courtesy, tact and respect in dealing with others
  - Actively provides appropriate and effective coaching and guidance to team members

**Meets Standards**                       **Does Not Meet Standards**
  
- Work Performance**
  - Shows initiative in starting, carrying out and completing tasks
  - Work product is thorough, accurate and in compliance with guidelines/directives
  - Completes performance appraisals on subordinates on time and IAW AZ Supp 1 to TPR 430

**Meets Standards**                       **Does Not Meet Standards**
  
- Communication**
  - Expresses thoughts logically, clearly and accurately in verbal and written communications
  - Open and approachable in resolving problems or conflicts

**Meets Standards**                       **Does Not Meet Standards**
  
- Job Knowledge**
  - Demonstrates technical competence in areas of responsibility
  - Renders appropriate and accurate technical advice

**Meets Standards**                       **Does Not Meet Standards**
  
- Adaptability**
  - Demonstrates innovation and seeks to improve technical and business skills
  - Flexible in adjusting to changing work environment

**Meets Standards**                       **Does Not Meet Standards**
  
- EEO**
  - Communicates State and Federal EEO standards to all workers
  - Ensures compliance with EEO goals and standards
  - Supports through deeds and words affirmative action goals of the AZNG

**Meets Standards**                       **Does Not Meet Standards**

**Meets Standards**                       **Does Not Meet Standards**

### PART II PROGRESS REVIEW

Date of review and initials of employee and rating official (semi-Annual review required). This does not replace the requirement to record on NGB 904-1. Comments may be entered in part VI.

Date: \_\_\_\_\_ Employees Initials: \_\_\_\_\_ Rating Official \_\_\_\_\_

### PART IIA PROBATION REVIEW

Recommend Retention

Recommend Non-Retention

Employee Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Rating Official Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Comments are required in part VI to support a recommendation of Non-Retention.

### PART III SUMMARY RATING

PLEASE CHECK THE APPROPRIATE BOX

MEETS STANDARDS

DOES NOT MEET STANDARDS

Space is provided to summarize the basis for rating. A "Does Not Meet Standards" rating requires explanation; comments must be measurable and must justify the rating in any critical element and requires establishment of a Performance Improvement Plan (PIP) as per TPR 430 dtd 1 Oct 97 as supplemented.

### PART IV EMPLOYEE FEEDBACK

Please answer the question by checking the appropriate box. Feel free to comment on any subject. A "No" response requires a written reason in the comments area.

**Are you provided the appropriate resources and training you require to perform your job?**

Yes

No

Please comment below

**Are new tasks clearly defined?**

Yes

No

Please comment below

**Are you told when you are doing a good job?**

Yes

No

Please comment below

**Are the Unit goals/objectives clearly defined?**

Yes

No

Please comment below

**Additional comments**



# TECHNICIAN PERFORMANCE PLAN

(NON-SUPERVISORY)

Employee Name:.  
Title/Grade/Series:  
Rating Date From:

SSN:  
Organization:

Date:

## PERFORMANCE STANDARDS ELEMENTS

(MUST IDENTIFY A MINIMUM OF 1 CRITICAL ELEMENT, PLEASE CHECK APPROPRIATE BOX(S) AT LEFT)

- Work Performance**
  - Shows initiative in starting, carrying out and completing tasks
  - Work product is thorough, accurate and in compliance with guidelines/directives

**Meets Standards**                       **Does Not Meet Standards**
  
- Job Knowledge**
  - Demonstrates technical competence in areas of responsibility
  - Renders appropriate and accurate technical advice

**Meets Standards**                       **Does Not Meet Standards**
  
- Communication**
  - Expresses thoughts logically, clearly and accurately in verbal and written communications
  - Open and approachable in resolving problems or conflicts

**Meets Standards**                       **Does Not Meet Standards**
  
- Working Relationships**
  - Uses courtesy, tact and respect in dealing with others
  - Develops efficient, effective and productive partnerships with co-workers
  - Supports team initiatives, respects the views of others, and actively support team decisions

**Meets Standards**                       **Does Not Meet Standards**
  
- Adaptability**
  - Demonstrates innovation and seeks to improve technical and business skills
  - Flexible in adjusting to changing work environment

**Meets Standards**                       **Does Not Meet Standards**

<input type="checkbox"/>	
<input type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Does Not Meet Standards</b>

<input type="checkbox"/>	
<input type="checkbox"/> <b>Meets Standards</b>	<input type="checkbox"/> <b>Does Not Meet Standards</b>

### PART II PROGRESS REVIEW

Date of review and initials of employee and rating official (semi-Annual review required). This does not replace the requirement to record on NGB 904-1. Comments may be entered in part VI.

Date: \_\_\_\_\_ Employees Initials: \_\_\_\_\_ Rating Official \_\_\_\_\_

### PART IIA PROBATION REVIEW

Recommend Retention

Recommend Non-Retention

Employee Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Rating Official Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Comments are required in part VI to support a recommendation of Non-Retention.**

### PART III SUMMARY RATING

PLEASE CHECK THE APPROPRIATE BOX

MEETS STANDARDS

DOES NOT MEET STANDARDS

Space is provided to summarize the basis for rating. A "Does Not Meet Standards" rating requires explanation; comments must be measurable and must justify the rating in any critical element and requires establishment of a Performance Improvement Plan (PIP) as per TPR 430 dtd 1 Oct 97 as supplemented.

### PART IV EMPLOYEE FEEDBACK

Please answer the question by checking the appropriate box. Feel free to comment on any subject. A "No" response requires a written reason in the comments area.

**Are you provided the appropriate resources and training you require to perform your job?**

Yes  No Please comment below

**Are new tasks clearly defined?**

Yes  No Please comment below

**Are you told when you are doing a good job?**

Yes  No Please comment below

**Are the Unit goals/objectives clearly defined?**

Yes  No Please comment below

**Additional comments**



ANNEX B  
SAMPLE  
(LETTERHEAD)

NOTICE OF WRITTEN DECISION BASED ON UNACCEPTABLE PERFORMANCE

(OFFICE SYMBOL)

MEMORANDUM FOR

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

(State the specific action being taken, i.e., removal, or change to lower grade. Furnish a copy to the exclusive representative for technicians in the bargaining unit. Include series and grade of position the incumbent occupies and show full unit name and mailing address to which the technician is assigned.)

1. This memorandum will serve as your formal notice of (removal/reduction in grade) not earlier than thirty (30) calendar days from the date of your receipt of this notice. The reasons for this removal are: (Give the reason for the removal action. Use all available information in sufficient detail so that the technician will understand why the action is being taken.)

a. On 1 January 19xx, you and I established written performance standards and identified critical job elements for your position. At that time you signed the Technician Performance Plan indicating that you and I had discussed these standards and critical elements.

b. On 2 March 19xx, I informed you orally and in writing that your performance regarding critical element pertaining to \_\_\_\_\_ was unacceptable because you had failed to (list specific instances of unacceptable performance on which this action is based). On 16 March 19xx, I provided you with specific written instructions on how to improve your performance on this critical job element.

c. Despite counseling and on-the-job training, your performance of this critical element continues to be unacceptable. Therefore, I have initiated this process to terminate your employment.

(Advise the technician of the right to review material relied on and where that material is located, if not attached.)

2. A copy of the Performance Appraisal materials relied upon to support this proposal is attached.

(Advise the technician of his/her right to reply orally or in writing, who to make reply to, time limits involved, and how to request an extension of time.

3. You have a right to reply to this notification, either orally or in writing, to the deciding official (or board), COL \_\_\_\_\_, (include address and telephone number) who will decide whether or not the proposed action should be sustained. You may submit affidavits in support of your response. Your response will be considered an appeal unless you specify otherwise. To be considered, your response must arrive within thirty (30) calendar days of receipt of this notice. Consideration will be given to extend this period if you submit a request stating your reasons for requiring more time.

4. As soon as possible after your response is received, or after expiration of the (30 day) limit if you do not respond, you will be given an original decision by the person or board designated to receive your reply.

5. You may contact Elizabeth Fiore in the Human Resources Office for procedural guidance at DSN 853-2484 or Commercial 602-267-2484.

6. If your performance is affected by alcoholism, drugs, or other personal problems, you are encouraged to take advantage of our Technician Assistance Program. I urge you to contact the Technician Assistance Program Coordinator directly at DSN 853-2319 or Commercial 602-267-2319 for an immediate appointment.

Encls

Supervisor's Signature Block

Receipt acknowledged: \_\_\_\_\_  
(Signature) (Date)

I (Technician's name): \_\_\_\_\_ the thirty (30) day response.  
Waive/Do not waive

(Receipted copy will be furnished to the Human Resources Office)

ANNEX C

STATE APPEALS SYSTEM

1. STATE REVIEW AND APPEALS BOARD. The State Review and Appeals Board will consist of three (3) members to provide an impartial review on performance appraisal appeals. Members serving on this board cannot be in the chain of command of the technician filing the appeal and should not be in a lower graded position than the technician appealing. The technician is entitled to representation during the board process and may challenge, for cause, the HRO's appointment of any member. The board will not review appeals that have been grieved through the negotiated grievance procedure.

2. FILING AN APPEAL. A technician desiring to file an appeal of a "DNMS" element and/or summary rating, may file an appeal to the HRO (who will convene the board) no later than 30 calendar days after technician's receipt of the appraisal. An appeal based on a Performance Improvement Plan must be filed within the 30-day advance written notice period outlined in Annex B and paragraph 13B(1). In reviewing performance appraisal appeals, the board by majority vote will recommend to the Adjutant General to either change the appraisal or sustain the appraisal without change. The board will be concerned with the performance appraisal appeal and not with a personnel action taken as a result of a "DNMS" appraisal. Supervisors have the right to present their case. The Adjutant General will make the final decision. All members of the board must be present at all times during the hearings, and must participate in deciding on a recommendation. A technician has no appeal rights beyond the Adjutant General.

3. APPEAL PROCESSING. An appeal to the board is submitted through the Human Resources Officer (HRO). Such appeal must contain the following:

- A. Name of technician
- B. Organization
- C. The appraisal being appealed
- D. Why the appraisal should be changed
- E. Performance level requested

When the necessary information is not available, the technician should submit what is available, and state why the other information is not available. The HRO will assemble the board.

4. BOARD PROCEDURES. During the proceedings, the board may admit oral and/or written evidence from the technician, the technician's representative and the immediate supervisor. Within 15 calendar days, the board will review the evidence and submit their recommendations directly to the Adjutant General with an information copy to the HRO. The technician, the technician's representative (if desired by the technician), and the immediate supervisor may submit any additional information they deem pertinent. Such information may be presented orally, by presentation of witnesses, or in writing. In the submission of evidence, both oral and written information may be submitted to reach a decision, as long as the technician, the technician's representative, and the immediate supervisor are given the opportunity to hear and reply to the information submitted by the other parties, and are given the opportunity to question any witnesses. If any of these individuals are absent during the oral presentation, the absentee(s) must be furnished in writing any evidence admitted during their absence. The board may not use any written information to render a recommendation until the technician, the technician's representative (if any), and the immediate supervisor have had an opportunity to examine and reply to it. Board members must serve as impartial fact finders and review each case objectively.