

TECHNICIAN PERSONNEL REGULATION
No. 200

HEADQUARTERS
DEPARTMENTS OF THE ARMY AND THE AIR FORCE
Washington, DC 20310 1 February 1983

TECHNICIAN PERSONNEL REGULATION 200

This regulation covers general personnel provisions and provides detailed information on the technician personnel publication system.

1. The following supplements to FPM Chapter 200 are inclosed.

- | | |
|----------|----------|
| a. 210.1 | e. 272 |
| b. 212.1 | f. 293.1 |
| c. 213.2 | g. 294.1 |
| d. 251.1 | h. 295.4 |

2. File this transmittal sheet in the front of the publication for reference purposes.

Users of this publication are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) to NGB-TN, 5600 Columbia Pike, Falls Church, VA 22041.

BY ORDER OF THE SECRETARIES OF THE ARMY AND THE AIR FORCE:

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*Supersedes TPM 200 (page 1 of 210.1; page 1 of 211.1; page 1 of 212.1; pages 1 and 2 of 213.2; page 1 of 213.3; page 1 of 230.1; page 1 of 251.1; pages 1 thru 7 of 251.3; page 1 of 271.5; page 1 of 271.7; page 1 of 272; page 1 of 272.1; page 1 thru 3 of 272.2; page 1 of 272.3; page 1 of 274.3; page 1 of 293.2; page 1 of 295.1; page 1 of 295.6; page 1 of 295.8; page 1 of 296.1; page 1 of 296.3)

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210.1

SUBCHAPTER 1. DEFINITIONS

1-1. DEFINITIONS

b. (1) Appointing officer means the Adjutant General of the State, Puerto Rico, Virgin Islands, or the District of Columbia. State adjutants general are designated to employ and administer the technicians within their respective jurisdictions.

(29)(ADDED). National Guard technicians are employees of the Departments of the Army or Air Force, employed under title 32 USC 709.

(30)(ADDED). "Military technician" means any person employed under 32 USC 709 who must also hold a military position as a condition of employment.

(31)(ADDED). "Competitive technician" means any person employed under 32 USC 709 for whom military membership is not a condition of employment.

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212.1

SUBCHAPTER 1. THE COMPETITIVE SERVICE (POSITIONS)

1-6. EFFECT OF LEGISLATION

The provisions of 32 USC 709 are that all persons who were employed as National Guard technicians on 31 December 1968, who were not required to be members of the Army or Air National Guard as a condition of employment, became employees in the competitive service to the same extent as other employees in the Departments of the Army and the Air Force, subject to the limitations of 32 USC 709. All such conversions were to be effective on 1 January 1969, or thereafter, in accordance with appropriate Office of Personnel Management rules and regulations. All persons employed after 1 January 1969, under the provisions of 32 USC 709, who are not required to be members of the Army or Air National Guard, will be employed as technicians in the competitive service, subject to the limitations of 32 USC 709.

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213.2

SUBCHAPTER 2. POSITIONS EXCEPTED BY STATUTE

2-1. IDENTIFICATION OF POSITIONS

Positions that require membership in the National Guard as a condition of employment are in the excepted service (32 USC 709).

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251.1

SUBCHAPTER 1. RELATIONSHIPS AMONG LEVELS OF MANAGEMENT

1-1. INTRODUCTION

b. Each State will develop policies for implementing a communication and consultation system under the guidelines in FPM Chapter 251.

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272TPR 272(ADDED)
NATIONAL GUARD TECHNICIAN PERSONNEL PUBLICATIONS

a. This chapter establishes the publications that are applicable to and govern the operation of the Army and Air National Guard Technician Personnel Program. The provisions of Public Law 90-486 require technician publications to be uniform, equal in application to both the Army and Air National Guard. To fulfill this requirement, technician personnel policies, practices, and procedures that are standard throughout the technician program are formulated at the National Guard Bureau; Statewide requirements are formulated by the State adjutant general. Unless otherwise indicated, NGB publications are effective upon receipt.

b. Technician Personnel Regulations (TPRs) are the National Guard Bureau's official publications on matters of technician personnel management. They implement approved NGB policies, assign responsibilities, direct action, and prescribe procedures. TPRs govern the Army and Air National Guard technician program. Unless otherwise specified, they will be used in lieu of Departments of the Army and Air Force regulations.

(1) TPRs supplement the FPM by adding to, clarifying, or changing OPM regulations. In certain cases, they replace entire FPM chapters. FPM holders will file a copy of all TPRs in the appropriate FPM.

(2) TPRs that are intended for FPM holders only are given a basic TPR number, such as TPR 200, and within that basic number are broken down further (i.e., 210.1). When referencing a TPR, include the basic number and the specific portion being referenced, such as TPR 200(210.1), TPR 300(335), TPR 400(410.1). When subject matter cannot fit a particular portion of the FPM, TPR chapters/paragraphs are inserted and identified by the word "ADDED".

(3) TPRs that are intended for supervisors as well as FPM holders are given individual numbers (i.e., TPR 430, TPR 451, TPR 752).

c. Technician Personnel Regulation Bulletins (TPRBs) are issued when, because of urgency, material cannot be processed through the normal publication channels. TPRBs remain in effect until incorporated into the basic regulation. Generally, TPRBs are numbered consecutively within the appropriate FPM or TPR number (i.e., TPRB 531-1, 531-2).

d. Technician Personnel Handbooks are designed to promote a better understanding of the technician program. They contain informational type material of a continuing nature and are not regulatory.

e. Technician Information Bulletins (TIBs) are used to issue guidance and clarification on various technician personnel matters. TIBs are numbered consecutively for each calendar year, are published monthly, and expire 2 years after the publication date. It is recommended that States establish a system similar to the TIB for use in communicating personnel matters to their workforce.

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293.1

SUBCHAPTER 1. GENERAL POLICIES GOVERNING PERSONNEL
RECORDS AND FILES

1-7(ADDED). FILE SYSTEM

The Army Functional Files System, AR 340-18, applies to the support personnel management office. It provides maintenance and disposition instructions for personnel records.

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294.1

SUBCHAPTER 1. GENERAL PROVISIONS

1-6. PROCEDURES FOR REQUESTING INFORMATION

c(ADDED) NGB procedures. The Freedom of Information Act deals with the disclosure of records to the general public and is a support personnel management office (SPMO) responsibility when such requests involve matters for which the SPMO is responsible. Regulations to be followed are AR 340-17 for requests involving ARNG technician personnel records and AFR 12-30 for those involving ANG technician personnel records. A request for both Army and Air records will be processed IAW AR 340-17.

1-12(ADDED). PRIVACY ACT

The Army Privacy Program, AR 340-21, is applicable to Army and Air National Guard technician matters.

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295.4

SUBCHAPTER 4. U.S. GOVERNMENT IDENTIFICATION FORMS

4-1. OPTIONAL FORM 55

a. Optional Form 55, U.S. Government Identification Card (with photograph), is the only authorized form to use for States wishing to provide Federal employment identification to the technician workforce. OF 55 may be ordered through GSA channels (line item 7540-00-926-8842, Class 7540, package of 40 cards).

TECHNICIAN PERSONNEL REGULATION
NO. 200

HEADQUARTERS
DEPARTMENTS OF THE ARMY AND THE AIR FORCE
Washington, DC 20310 31 October 1983

TECHNICIAN PERSONNEL REGULATION 200

This regulation contains National Guard requirements concerning personnel management objectives and responsibilities. This regulation also establishes requirements for the National Guard personnel management evaluation system.

TPR 200, 1 February 1983, is changed as follows:

1. Remove old pages and insert new pages as indicated below:

Remove Page -

Insert page -

1 thru 5 (250.1)
1 (250.2)
1 thru 6 (250.A)
1 thru 5 (250.B)

2. File this change sheet in front of the publication for reference purposes.

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*Supersedes TPM 200 (pages 1 thru 10 of 250.1) and TPP 908,
1 October 1975.

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C1
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250.1SUBCHAPTER 1. PERSONNEL MANAGEMENT - DEFINITION,
OBJECTIVES, PUBLIC POLICY, RESPONSIBILITIES

1-2. PERSONNEL MANAGEMENT OBJECTIVES

b(ADDED). The personnel management program objectives listed below are overall and continuing objectives within the National Guard. The adjutants general must subscribe to these objectives in discharging their responsibilities for employment and management of National Guard technicians within their respective jurisdictions. The National Guard Bureau may provide additional or more detailed goals and objectives as needed for specified periods.

(1) Strive to achieve the most economical and efficient use of personnel resources throughout the National Guard.

(2) Support the role of personnel officers, making maximum use of their expertise in formulating personnel management policies.

(3) Use merit principles to staff the technician program with the best qualified personnel, allowing technicians the opportunity to advance to their full potential.

(4) Provide position management that optimizes the effective use of fiscal and personnel resources.

(a) Develop position structuring, staffing, and grading patterns consistent with efficiency in meeting mission requirements and Office of Personnel Management classification standards.

(b) Encourage supervisory participation in position management and the classification process.

(5) Develop the highest order of expertise and competence of National Guard human resources.

(a) Improve individual performance and thereby National Guard effectiveness.

(b) Develop personnel resources through sound training.

(c) Promote an incentive awards program for the recognition of superior performance, achievements, and innovative talents, thereby stimulating and encouraging maximum performance as well as improving Government operations.

(6) Ensure support, guidance, and resources necessary for effective equal employment opportunity in the National Guard.

(a) Ensure equal employment opportunity through recruitment, staffing, community relations, training, education, recognition, and affirmative action.

(b) Promote the role of women and minorities in the National Guard.

(7) Ensure support and guidance necessary for effective labor-management relations.

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(a) Increase management awareness and involvement to assure that the union-management relationship contributes to the effective conduct of the National Guard mission.

(b) Provide advice and assistance to management on matters connected with the administration of labor agreements, negotiations, and third-party labor disputes.

(8) Provide effective personnel management leadership in the National Guard.

(a) To assure that policies, plans, and services are uniform for Army and Air National Guard technicians and that there is consistency in policies, plans, and services for all full-time personnel.

(b) To assure that quality personnel administrative services are being provided.

(c) To conduct a continuous review, analysis, and evaluation of all policies and programs in order to provide timely guidance that improves methods and quality of personnel management and administration.

(d) To properly implement laws, regulations, and policies pertaining to working conditions, pay, allowances, retirement, and Federal benefits within the National Guard.

(e) To provide accurate employment statistics within the National Guard and to appropriate Federal agencies.

(f) To further the introduction of work-saving personnel management procedures.

(9) Achieve a goal of "compatibility" between all military assignments and full-time work according to National Guard criteria.

(10) Effect progressive personnel policies and programs that support the National Guard mission.

1-3. PUBLIC POLICY

a(ADDED). 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.

(1) 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.

(2) Personnel who fully meet technician and military qualification requirements will be placed in jobs for which they are best qualified and shall be given opportunities for advancement to their full potential. 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.

(3) Work performance will be evaluated fairly and objectively on a continuing basis.

(4) Working conditions will be made as safe and healthful as possible.

(5) Personnel will be encouraged to express themselves concerning improvement of work methods and working conditions.

(6) 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 are represented by a recognized labor organization, management officials will endeavor to build a relationship with that organization based upon mutual respect and trust.

(7) 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.

(8) Technicians will have the right to discuss problems with the appropriate office without interference, coercion, restraint or reprisal; the personnel office; equal employment opportunity officer or counselor; 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.

(9) 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.

1-4. PERSONNEL MANAGEMENT RESPONSIBILITIES

e(ADDED). 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. Specifically, authority is delegated to the Chief, National Guard Bureau, for administering the National Guard technician program subject to policies expressed by the Departments of the Army, Air Force, 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 matter not found to be in accordance with applicable laws, rules, regulations, or NGB policy.

f(ADDED). The Adjutant General. The adjutants general within all States, the Commonwealth of Puerto Rico, the Virgin Islands, Guam and the District of Columbia have full authority and responsibility to employ and manage all technicians of the Army and Air National Guard within their respective jurisdictions according to the objectives, policies and

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procedures in applicable regulations. All personnel actions will be in accordance with applicable Federal statutes, regulations, and public policy.

g(ADDED). Managers and Supervisors.

(1) National Guard managers are responsible to their respective 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) National Guard 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) National Guard 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.

h(ADDED). The Support Personnel Management Office. The Support Personnel Management Office (SPMO) is a staff function of the Office of the Adjutant General and constitutes the staff element through which each State Adjutant General discharges obligations for administration of the National Guard full-time support personnel programs.

(1) Each SPMO will be consolidated and will be responsible for National Guard technicians and military duty administrative responsibilities as prescribed by National Guard regulations, the Federal Personnel Manual and related issuances, statutes governing labor management relations, Executive Orders, and other appropriate authority. The SPMO will be a centrally located office in each State; all SPMO 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 a 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

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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 support personnel management officer or SPMO staff. The number of technicians so designated will not reduce the manpower resource of the SPMO.

(3) Services provided by the SPMO 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 SPMO 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 full-time 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.

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SUBCHAPTER 2. ELEMENTS OF EFFECTIVE AGENCY PERSONNEL
MANAGEMENT: PLANNING, OPERATIONS, AND EVALUATION

2-3. ELEMENTS OF PERSONNEL MANAGEMENT: EVALUATION

b. Evaluation system. Personnel management evaluation will be conducted in the National Guard through a system consisting of (1) evaluations by the National Guard Bureau and (2) evaluations by the State adjutants general of personnel management under their respective jurisdictions. Review by the National Guard Bureau is conducted on an agency-wide basis and in each State. Through the NGB evaluation system, technical guidance will be provided to assist States in (1) improving personnel management, (2) establishing the required State personnel management evaluation processes, and (3) participating in Government-wide personnel management evaluation projects.

c. Minimum evaluation system requirements. TPR 200(250.A) contains the plan for evaluation of personnel management by the National Guard Bureau. TPR 200(250.B) contains the requirements for the conduct of National Guard State-level evaluations.

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APPENDIX A (ADDED).
NATIONAL GUARD BUREAU EVALUATION PLAN

A-1. SCOPE

This appendix establishes requirements for personnel management evaluations conducted by the National Guard Bureau.

A-2 PURPOSE AND AUTHORITY

a. Purpose. Evaluations are conducted to determine the degree to which National Guard personnel management objectives covered in TPR 200(250.1) are met. National Guard evaluations are also conducted to ensure compliance with applicable Federal regulations, statutes, and policies. Personnel management evaluation in the National Guard provides quality control for the management of human resources with feedback to all levels of management.

b. Authority. The authority and requirement for NGB evaluations are found in the following references.

- (1) Federal Personnel Manual, chapter 250.
- (2) AR 10-5
- (3) General Orders 85 and Redlegation of Authority under the National Guard Technician Act of 1968, dated 10 March 1969.
- (4) AFR 40-103
- (5) Presidential Memorandum, 9 October 1969

c. Responsibilities. The Chief, National Guard Bureau has overall responsibility to establish and maintain a personnel management evaluation system for the National Guard. This responsibility will be exercised by the Personnel Management Evaluation Group within the National Guard Bureau. Responsibility includes:

- (1) Evaluating personnel management on an agency-wide basis and performing individual State evaluations.
- (2) Reviewing personnel management evaluation activities in each State for effectiveness and providing technical assistance.
- (3) Providing guidance and technical assistance to States during on-site evaluations to assist in implementing new or revised personnel programs.
- (4) Participating in Government-wide personnel management evaluation in cooperation with other agencies and the Office of Personnel Management.
- (5) Providing input for the establishment of personnel management goals, objectives, policies, regulations, and procedures based on information gathered and analyses made during evaluations.
- (6) Managing and administering the National Guard Personnel Management Evaluation System.

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d. Interface with Office of Personnel Management. National Guard Bureau evaluations will be managed to maximize the use of information and resources of the Office of Personnel Management (OPM). Every effort will be taken in the coordination of on-site review scheduling to prevent unnecessary duplication with OPM. Fiscal year schedules will be made available to OPM as early as possible to facilitate optimum scheduling by both NGB and OPM. Efforts will be made to maintain the practice of joint surveys with OPM while ensuring that NGB objectives and priorities can be met where they may differ from those of OPM. Regional offices of OPM will be contacted sufficiently prior to NGB reviews to promote joint participation.

A-3. CONDUCT OF EVALUATION

a. Planning the evaluation. The following actions must be considered during the planning phase of a review (not necessarily in sequence):

- (1) Establish survey objectives and scope.
- (2) Obtain team resources.
- (3) Coordinate with the appropriate OPM regional office.
- (4) Assign team members to areas of responsibility.
- (5) Determine methods for gathering information.
- (6) Confirm on-site dates.
- (7) Determine what pre-survey information is needed, obtain it, and review for leads.
- (8) Send scheduling letter(s).
- (9) Select installations/activities for factfinding.
- (10) Make all travel arrangements.

The assigned National Guard Bureau team leader has responsibility to act on the considerations listed above in conjunction with the Chief, Personnel Management Evaluation Group.

b. On-site phase of evaluation. The on-site phase of a review consists of the following:

- (1) Entrance briefing with the Adjutant General (or designee) and staff. Local orientation and review briefings will be given to the survey team as necessary and appropriate.
- (2) Factfinding.
- (3) Analysis and problem identification.
- (4) Team meetings.

(5) Development of tentative findings and recommendations/required actions.

(6) Exit briefing with Adjutant General and staff.

Results of on-site work should be treated as tentative until issued in the final report. Decisions need not be reached on all cases while on-site, especially if precedential. Disruption of the activities of the State being evaluated will be kept to a minimum.

c. Methods for gathering information in NGB reviews.

(1) Interviews with managers, supervisors, non-supervisory employees, and union officials will be the primary source of information. State officials must notify local union officials prior to on-site dates that an evaluation is to be conducted. Interview guides will be tailored to each review in advance.

(2) Reviewing plans and published policy statements during the pre-on-site phase of the review is essential in order to determine program deficiency leads. State plans may be modified by language in contracts with labor organizations; contracts should be reviewed in conjunction with State plans.

(3) Records contain vital documentation; however, like published plans, records alone rarely substantiate a program deficiency. They should be used as the end product of management decisions about the work force and as such may be used to show trends. In addition, records are important to individual case action studies.

(4) Statistics should be used whenever possible to substantiate trends. Statistics are used to graphically portray the results of management actions or lack of action, a current work force or program profile, and to identify the frequency and pattern of identified violations. Statistics will be used particularly in equal employment opportunity, "compatibility," and classification and regulatory audit coverage as necessary.

(5) Other types of reports can be used to obtain leads. Consideration should be given to inspector general reports, state-evaluation reports, productivity reports, committee reports, and other management reports.

(6) Questionnaires. (Reserved)

d. Position audit procedures and classification errors.

(1) Position audits are used to measure classification accuracy and to serve as the basis for correcting classification errors through a case listing.

(2) Either a random or problem oriented sample or a combination of both may be used. Standardized positions which are within 180 days of release by the Compensation and Classification Division (NGB-TNC) will not be included in an audit sample. Coordination will be required with NGB-TNC by the evaluation team so that such positions will not be included. Audits will be used to post audit exceptions to standardized positions.

(3) As a general rule, the audit will be conducted with the incumbent of the position, and vacancies will not be used in the audit sample. The results of the discussion with incumbents should be verified with the immediate supervisor wherever possible to ensure correctness and completeness. All audit results should be discussed with the personnel officer.

(4) Since the NGB uses standardized position descriptions in most cases, the following rules will apply to audit work.

(a) A determination must be made whether the standardized position description is classified in error or whether the duties and responsibilities as performed by the incumbent differ from the standardized position description and to what degree. In the latter case, any corrective action required will be directed to the respective supporting classification activity and the State (see paragraph A-5, Corrective Actions - Case Listings). If the standardized position description is in error, action must be directed which will result in correction of all positions affected by the standardized position description including the position audited. In these cases, the classification activity serving as office of primary responsibility for the position in question will be notified and the required actions specified.

(b) All classification errors should be resolved, or action(s) projected, within 90 days of the publication of the report. Team leaders are responsible for assuring that coordination is maintained with all appropriate offices in order that no information is overlooked and to assure case resolution within timeframes.

e. Regulatory audit procedures and regulatory violations.

(1) Regulatory audits are used to determine compliance with personnel laws, rules, and regulations affecting National Guard employees. Identifying and eliminating causes of errors and violations are paramount. However, specific legal and regulatory violation correction will be sought.

(2) The main source of information for regulatory audits is the Notification of Personnel Action (SF 50). If an audit sample is to be used, employee personnel folders will be reviewed based on a sample of types of personnel actions selected from the chronological file of Standard Forms 50. Personnel folders should also be reviewed to substantiate violations referred to evaluators from any other sources. Every effort should be made to properly define cases of regulatory violation prior to completion of the on-site phase of the review so that actions required to correct the case are clear.

(3) Depending on the facts in the case, corrective action may be directed towards the violating official. Such action will be initiated by separate letter from the Chief, National Guard Bureau, or designee, to the Adjutant General having jurisdiction over the violating official.

A-4. IMPACT OF SURVEY

a. Report distribution. The impact of a survey will come partly from the distribution of the information contained in the report. NGB reports are primarily designed to inform the State Adjutant General, the Chief, National Guard Bureau and staff, and appropriate offices of the Office of Personnel Management. Reports will be distributed to other

users as necessary; however, the contents will not be released to the public without action by the National Guard Bureau. Freedom of Information Act requests will be processed through appropriate channels.

b. Follow up. Maximum use will be made of follow-up efforts to assure that desired results are obtained from the evaluation. Team leaders will be responsible for follow-up actions in conjunction with the Chief, Personnel Management Evaluation Group. The follow-up process begins with the on-site exit briefing and is followed by the report. Team leaders will be available to offer all reasonable assistance to aid in resolving deficiencies, establishing plans, or projecting improvement actions. Team leaders will identify those areas requiring follow-up action and, where required, prepare correspondence to obtain commitments for improvement or compliance.

c. Closeout of reviews. A final closeout of each review is desirable. In cases where a review cannot be closed, consideration will be given to scheduling a follow-up review within the following fiscal year.

A-5. CORRECTIVE ACTIONS - CASE LISTINGS

a. Case listings will be used to correct specific violations of laws, rules, regulations, and position classification standards. Separate case listings will be used for classification and regulatory cases and will be attached as appendices to evaluation reports or transmitted separately. Case listings must be as consistent as possible in all aspects, particularly required corrective actions.

b. Timeframes for correcting classification and regulatory cases will be specified in correspondence transmitting those cases.

c. Classification case listings will be prepared using the sample format in Figure 1.

1.	<u>Name,</u> <u>Position Number</u>	<u>Current</u> <u>Classification</u>	<u>Required Change</u>
	Findings and evaluation...		
2.	<u>Name,</u> <u>Position Number</u>	<u>Current</u> <u>Classification</u>	<u>Required Change</u>
	Findings and evaluation...		

FIGURE 1. POSITION CLASSIFICATION CASE LISTING - SAMPLE FORMAT

d. Due to the predominant use of standardized position descriptions in the National Guard, the following procedures will govern the handling of classification case listings:

(1) Positions where duties and responsibilities as performed are different from those described in official certified position descriptions (either standardized or exceptions to standardized) require immediate action by local management or the respective servicing classification activity. Two courses of action are available: (a) action will be promptly initiated to officially reclassify the position or, (b) local management may be able and willing to properly assign officially designated duties and responsibilities to avoid reclassification. For the second course of action, a detailed explanation will be required of what action will be taken and what duties and responsibilities will be affected. If local management commits to adjusting duties and responsibilities, a classification activity post audit will be necessary between 6 months and one year later. Corrective action will be immediately initiated by the classification activity when the post audit shows a misclassification has not been corrected.

(2) When the classification of an official standardized position description is determined to be in error, the case will be kept separate from the report and sent to the classification activity with primary nationwide responsibility for that position. If the final decision is to reclassify the position, the standardized position description will be officially reclassified, and all like positions will be affected.

(3) When the classification of a published exception to the standardized position is determined to be in error, the courses of action in d(1) above will apply.

(4) In either case above, the following actions will be required if there is disagreement with the case findings submitted by the evaluation team. A written evaluation of the position detailing the basis for the classification by the responsible classification activity and a suggested classification will be submitted along with any other pertinent information that may assist in the resolution of the case. All such cases will be resolved by NGB-TN. Action will be taken or action will be projected by the appropriate office and a record submitted within 90 days of receipt of the case listing.

e. Regulatory cases will be prepared using the sample format in Figure 2.

<u>1. Name of Employee</u>	<u>Nature of Violation</u>
<u>Findings:</u>	
<u>Required Action:</u>	

FIGURE 2. REGULATORY CASE LISTING - SAMPLE FORMAT

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250.BAPPENDIX B(ADDED).
STATE PERSONNEL MANAGEMENT EVALUATION PLAN

This appendix provides requirements governing the development and implementation of State personnel management evaluation procedures.

B-1. GENERAL

a. 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.

b. Responsibilities. The State Adjutant General has overall responsibility for implementing a State evaluation system. The Adjutant General will designate the Support Personnel Management Officer or a senior personnel specialist in the SPMO to serve as evaluation coordinator. The coordinator will have the following responsibilities:

- (1) Develop State personnel management evaluation procedures according to NGB regulations.
- (2) Initiate evaluation activity. May serve as team leader. Serves as advisor to the PME team.
- (3) Designate evaluation team members (in conjunction with team leader).
- (4) Designate those activities selected for review (in conjunction with team leader).
- (5) Notify all parties involved sufficiently prior to the review.
- (6) Assign team responsibilities (in conjunction with team leader).
- (7) Serve to catalyze the analysis of information and any problem/solution determinations.
- (8) Properly staff all proposed or required actions resulting from a review.
- (9) Follow up on actions to be taken.
- (10) Arrange for administrative support for the PME team.

c. 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:

- (1) Complement the annual budget process.

- (2) Support NGB personnel management policies.
- (3) Specify what is to be accomplished.
- (4) Reflect local needs.
- (5) Be measurable.

d. 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.

B-2. STATE REVIEW REQUIREMENTS

a. 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.

b. 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. The largest States in terms of number of employees and activities and geographical dispersion may need to increase the number of team members. 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.

c. Planning and conducting the review.

(1) 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.

(a) 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.

(b) Objectives of the review must be outlined.

(c) Team members must be selected, if not done previously.

(d) Team member assignments must be made.

(e) 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.

(f) Any interviews should be arranged. Interviews should be categorized into managerial, supervisory, and non-supervisory.

(g) Any official personnel folders and personnel actions to be reviewed should be selected and the reviewer determined.

(h) Any necessary statistics should be decided upon and a determination made as to method of collection.

(i) The amount of time required to complete the review should be specified.

(j) 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.

(k) A summary of problems, recommendations, or required actions should be prepared.

(2) 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.

(3) The most difficult processes in the review are analyzing the information and finding a solution. The following points are aides to the analysis process:

(a) Specify regulatory violations and classification errors.

(b) Specify deviations from program requirements.

(c) Specify unsatisfactory progress towards goals.

(d) Specify undesirable trends based on statistics, program activity, or productivity.

(4) The following points are aides in resolving problems:

(a) Determine the cause using all possible data and input from managers.

(b) Determine whether the cause requires either program adjustment, organizational adjustment, goal adjustment, individual case action adjustment, or operating procedure adjustment.

(c) Obtain management commitment to solution alternatives by involving managers in the solution formulation process.

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d. Written report. While frequency and coverage of evaluation activity is not mandated, a written report must be prepared at least annually to document evaluation efforts. If several reviews are conducted during the fiscal year, reports may be written for each review or a summary report prepared. As a minimum, the report(s) should include a synopsis of the objectives of the review and all problem areas identified; and each corrective action proposed, pending, and taken. The report(s) need not be lengthy. Separate reports covering a specific area of personnel management may be necessary on occasion. Preparation of these reports will be the responsibility of the appropriate personnel specialist. Examples of such reports would be compatibility reports, sick leave usage reports, environmental differential pay reports, retirement reports, etc. All reports will remain open until required corrective actions have been taken or resolved in some other manner.

e. Techniques for effective personnel management evaluation. The following are general comments for evaluation teams which are to be considered for the conduct of reviews.

(1) 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 also be reviewed and evaluated by team members so that they will 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.

(2) The team leader may plan to have team members conduct interviews with a representative cross section of supervisory technicians, nonsupervisory 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.

(a) Ask probing questions; not the kind that can be satisfied with a yes or no answer.

(b) Listen more than talk; this allows for the interviewer to receive more information.

(c) 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.

(3) 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 a more effective accomplishment of the mission.

(4) Meeting with labor organization representatives at all levels is a good evaluation technique. Team members may want to meet with local labor organization presidents at some time during the review. Questions should be directed only to identifying items that are of concern to the union in the labor management relationship. Team members should not attempt to resolve individual grievances or unfair labor practice charges; but they should limit comments to explanations of the systems available through which the parties may seek satisfaction. For the purposes of evaluations, unions are private organizations. Internal affairs of labor organizations will not be evaluated during personnel management evaluations.

(5) 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 Forms 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 SPMO 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.

(6) After sufficient information has been obtained, it should be analyzed to determine how the program or practices deviate from that which is desired by top management or regulations. The cause of the 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 approval; and may require labor-management involvement.

TECHNICIAN PERSONNEL REGULATION
NO. 200

HEADQUARTERS
DEPARTMENTS OF THE ARMY AND THE AIR FORCE
Washington, DC 20310 10 November 1983

TECHNICIAN PERSONNEL REGULATION 200

This regulation contains the regulatory requirements for the National Guard Technician Personnel Management Information System.

TPR 200, 1 February 1983, is changed as follows:

1. Remove old pages and insert new pages as indicated below:

Remove Page -

Insert Page -

1 (298.4)

2. File this change sheet in the front of the publication for reference purposes.

Users of this publication are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) to NGB-TN, 5600 Columbia Pike, Falls Church, VA 22041

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DISTRIBUTION: D
(Each SPMO)

31 October 1983

C2
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298.4

SUBCHAPTER 4(ADDED). NATIONAL GUARD TECHNICIAN PERSONNEL
MANAGEMENT INFORMATION SYSTEM

4-1. GENERAL

The National Guard Technician Personnel Management Information System (TPMIS) is an automated personnel data base inclusive of Army and Air National Guard technicians both excepted and competitive status in all States, Puerto Rico, the Virgin Islands, and the District of Columbia. TPMIS is maintained as a separate system over all local or State systems in operation. The system provides coordinated and correlated data for use by the National Guard Bureau in preparing and submitting required reports and programs to Departments of Army and Air Force, Department of Defense, the Office of Personnel Management, Bureau of Labor Statistics, and other Federal agencies.

4-2. TPMIS REQUIREMENTS

a. The updating and maintenance of TPMIS consists of three steps:

- (1) State submission of personnel data on all newly hired National Guard technicians.
- (2) Editing and error correction.
- (3) Updating of technician data to include all training accomplished, career progression, within grade pay increases, OPM program changes, etc.

b. The Support Personnel Management Office within each State is responsible for the verification, submission, and maintenance of all technician personnel data required. The quality of the system is dependent upon accurate and timely data submission.

4-3. SUBMISSION OF TRANSACTIONS TO TPMIS

Instructions for submission of technician personnel data to TPMIS are contained in the TPMIS Operator's Manual.

TECHNICIAN PERSONNEL REGULATION
No. 200

HEADQUARTERS
DEPARTMENTS OF THE ARMY AND THE AIR FORCE
Washington, DC 20310-2500 15 January 1987

TECHNICIAN PERSONNEL REGULATION 200

This regulation covers general personnel provisions such as file systems, Freedom of Information Act and Privacy Act.

TPR 200, 1 February 1983, is changed as follows:

1. Remove old pages and insert new pages as indicated below:

<u>Remove Page</u>	<u>Insert Page</u>
1(272)	
1(293.1)	1(293.1)
1(294.1)	1(294.1)
1(295.4)	1(295.4)
	1(295.6)

2. Changed material is indicated by an asterisk. Deleted information is indicated by two asterisks.

3. File this change sheet in the front of the publication for reference purposes.

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BY ORDER OF THE SECRETARIES OF THE ARMY AND THE AIR FORCE:

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Executive, National Guard Bureau

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(Each SPMO)

15 January 1987

C3
TPR 200
293.1

SUBCHAPTER 1. GENERAL POLICIES GOVERNING PERSONNEL
RECORDS AND FILES

1-7(ADED). FILE SYSTEM

Support Personnel Management Office files may be maintained in accordance with the Department of the Army or Department of the Air Force record management systems.

15 January 1987

C3
TPR 200
294.1

SUBCHAPTER 1. GENERAL *PROCEDURES

1-3(ADED). NGB PROCEDURES

a.* The Freedom of Information Act deals with the disclosure of records to the general public, and is a support personnel management office (SPMO) responsibility when such requests involve matters for which the SPMO is responsible. Regulations to be followed are AR 340-17 for requests involving ARNG technician personnel records and AFR 12-30 for those involving ANG technician personnel records. A request for both Army and Air records will be processed IAW AR 340-17. *Denial authority rests with the Deputy Chief of Staff for Personnel for ARNG matters and the Chief, NGB, for ANG matters.*

**

b. The Army Privacy Program, AR 340-21, is applicable to Army and Air National Guard technician matters. *Denial authority rests with the Chief, NGB.*

15 January 1987

C3
TPR 200
295.4

SUBCHAPTER 4. U.S. GOVERNMENT IDENTIFICATION *FORM

4-3(ADDED). IDENTIFICATION CARDS FOR TECHNICIANS

a. Optional Form 55, U.S. Government Identification Card (with photograph), is authorized for use by States wishing to provide Federal employment identification to the technician workforce. OF 55 may be ordered through GSA channels (line item 7540-00-926-8842, Class 7540, package of 40 cards).

b. In lieu of OF 55, States may issue Department of the Army and Air Force civilian identification cards. Applicable regulations are AR 640-3 and AFR 30-20.*

15 January 1987

C3
TPR 200
295.6

*SUBCHAPTER 6. GENERAL SCHEDULE ANNUAL PAY RATES

6-2. AVAILABILITY INFORMATION

NGB, as part of the Department of the Army rider system, orders bulk supplies of wallet cards. Individual States may not submit orders through the OPM Publication Rider System.*

TECHNICIAN PERSONNEL REGULATION
No. 200

HEADQUARTERS
DEPARTMENTS OF THE ARMY AND THE AIR FORCE
Washington, DC 20310-2500 31 August 1988

TECHNICIAN PERSONNEL REGULATION 200

This regulation provides information on personnel files and ordering wallet size pay charts.

TPR 200, 1 February 1983, is changed as follows:

1. Remove old pages and insert new pages as indicated below:

<u>Remove Page</u>	<u>Insert Page</u>
1(293.1)	1(293.1)
	1(293.B)
1(295.6)	1(295.6)

2. Changed material is indicated by an asterisk. Deleted information is indicated by two asterisks.
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C4
TPR 200
293.1

SUBCHAPTER 1. GENERAL POLICIES GOVERNING PERSONNEL
RECORDS AND FILES

*1-4. PERSONNEL RECORDS AND FILE SYSTEMS

g(ADDED). SPMOs may use either the Department of the Army or the
Department of the Air Force records management system.*

31 August 1988

C4
 TPR 200
 293.B

*APPENDIX B.
 DISPOSITION OF OFFICIAL PERSONNEL FOLDER
 (OPF)/MERGED RECORDS PERSONNEL FOLDER (MRPF)

R U L E	A	B
	IF	THEN
5.	It is probable that the employee will be employed repeatedly, after separation, for short periods of time in the agency.	Keep folder for a maximum period of 2 years after the date of their last separation.*

31 August 1988

C4
TPR 200
295.6

SUBCHAPTER 6. GENERAL SCHEDULE ANNUAL PAY RATES

6-2. AVAILABILITY INFORMATION

SPMOs may order wallet cards by having the USPFO submit a requisition to the regional Government Printing Office.