



**NATIONAL GUARD OF ARIZONA
HUMAN RESOURCES OFFICE**

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AZAA-HRM

16 January 2001

MEMORANDUM FOR All AZ ARNG and AZNG Commanders and Supervisors

SUBJECT: Activation of AZNG GS-05/06 Retention Plan Fiscal Year 2001

1. In accordance with NGB-HRS, Memorandum For The Adjutants General of all States and U.S. Territories, dated 6 Oct 00, Subject: Guide to Recruiting and Retention Tools for National Guard Technicians the above referenced plan is approved for implementation effective 28 January 2001.
2. This Plan meets all of the criteria for use of the delegated authority as provided to The Adjutant General (TAG) in the above referenced NGB-HRS memorandum. This plan has been staffed and approved by all command elements of the AZNG.
3. Ms. Sue Wilson is the Human Resource Office point of contact for the AZNG GS-05/06 Retention Plan and may be contacted at 602-267-2789.

FOR THE ADJUTANT GENERAL:

/// Original Signed ///

/// On File ///

**ARIZONA NATIONAL GUARD
GS-05/GS-06
RETENTION PLAN
FISCAL YEAR 2001**

**Prepared by Steven M. Elliott
Submitted for Approval and Implementation to:
HQ AZANG Human Resource Office
The Adjutant General of Arizona**

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Introduction

The Arizona National Guard, has experienced significant difficulties in retaining GS-05 and GS-06 grade level employees . The AZNG is not unique in this regard. Retention of GS-05 and GS-06 employees is a documented problem facing all National Guard Agencies, and is the result of two major factors; (1) decreased Quality of Life caused by low salary ranges, and (2) the willingness of civilian employers to pay a competitive salary of 28,000 to 32,000 plus for qualified clerical and management assistant type employees. The Office of Personnel Management may authorize agencies to pay Retention Allowances under 5 USC 5753 and 5754. In addition, Advanced In-hire Rates are authorized under 5 USC 5333. These authorities were delegated to the Adjutants General by NGB-HRC (690-300), 21 June 1995, Subject: Decentralization of Personnel Authorities. The purpose of this plan is to satisfy the implementation requirements of the Code Of Federal Regulations (CFRs) associated with Retention Allowances, in addition to the requirements for Advanced In-Hire Rates for “Superior Qualifications.” There are two elements to the program (1) recruit targeted clerical and administrative specialist candidates through advanced in-hire rates, and (2) encourage retention through the retention allowance provisions of the CFRs.

Retention Allowances: In the long run, this program will allow the AZNG to terminate the overall plan. Monetary values were set with the following objectives in mind: (1) retain step GS-06-10, without an allowance, as the top pay scale, (2) ensure that, as retention allowances decrease, annual pay raises are still realized, and (3) preserve some latitude to increase allowances should circumstances warrant. To be eligible, employees must meet the following criteria: (1) one year service minimum, (2) full or part-time indefinite/permanent employment status obtained through competition, and (3) fully qualified to perform all assigned position duties. Upon formal notification of intent to resign the allowance would be terminated. Beginning at step GS-05-01 a percentage of basic pay will be calculated at not more than 25%. The allowance amount would decrease by 2.5% between GS-05 steps 05 through 08 and again decrease by 2.5% from GS-05 step 9 through GS-06 step 03 and again decrease by 2.5% from GS-06 step 04 through step 08 and again by 2.5% from GS-06 step 09 through step 10. Supervisors and nominating officials must decide and request the percentage of base pay that they determine is appropriate for the individual employee. Supervisors have the authority to either request or not request a Retention Bonus based on an employee’s performance and qualification level. This plan is only intended to be a retention tool for management and is not intended as an across the board pay raise. Supervisors and Nominating Officials are responsible for requesting and terminating bonuses based on their actual retention needs at the GS-05/06 position levels. The percentage requested can not exceed the Maximum Allowable Percentage as outlined below.

The following sections address each program by CFR levels to ensure regulatory compliance, including administrative procedures. In addition, forms to be used to implement each provision have been included.

Maximum Allowable Percentage of Retention Bonus by Grade-Step

GS-05-01 through GS-05-04 = 25%
GS-05-05 through GS-05-08 = 22.5%
GS-05-09 through GS-06-03 = 20%
GS-06-04 through GS-06-08 = 17.5%
GS-06-09 through GS-06-10 = 15%

SUPERVISOR RESPONSIBILITIES

Supervisors must ensure that all retention bonus request meet the above mentioned criteria. Prior to requesting a bonus supervisors must brief all personnel receiving a bonus that the bonus may be terminated or reduced in percentage at any time. Reasons for termination or reduction in bonus percentage may include but are not limited to: a short fall of technician payroll dollars, less than satisfactory performance in the position or the lack of necessary skills, abilities, and required position knowledge's to successfully perform assigned duties. Reasons for bonus termination or percentage change are not negotiable nor are they grievable. Supervisors and Nominating Officials are the last authority on the amount and determination of whether or not the payment of a retention bonus is applicable for each individual employee.

Advanced In-hire Rates

Sec 531.203 General provisions.

(a) N/A

(b) Superior qualifications appointments.

(1) Advanced rates are based on both superior qualifications and special agency needs.

(2) HRO/AZNG local form includes certification as either new appointment or reappointment with a

break in service of at least 90 calendar days.

(i) through (vii) If the employee indicates any previous federal employment which may be exempt from the break in service requirements his/her eligibility will be determined by the Approving Official.

(2) Documentation and recordkeeping procedures.

(i) The AZNG/HRO Recruitment and Retention Plan in it's whole validates the special needs of this agency. Superior qualifications are also demonstrated by this plan. The Advanced In-hire Rate Recommendation form which follows specifies the criteria used to recommend the advanced rate based on level and type of experience.

(ii) Addressed under pay comparisons. There is no attempt to match or exceed a candidates existing pay. The intent of the program is to improve the recruitment of qualified individuals by offering pay commensurate with their training and experience.

(2) Internal guidelines and procedures.

The form which follows this section will be used by the Local Supervisor/Selection Panel during the interview process. This form will be forwarded through the Nominating Official as part of the employment package for their signature. It will then be forwarded along with other employment package documents to Human Resource Office final review and approval. A copy of the approved document will be returned to the Selecting Official for maintenance in accordance with local filing procedures and to serve as a data base to evaluate the plans success. The Human Resource Office will maintain the original copy for required annual reports.

HRO/AZNG Advanced In-hire Rate Request

NAME: _____

Date _____

ANNOUNCEMENT: _____

Previous civilian federal employment: Yes____, No____ (if prospective employee indicates previous federal civilian employment without a break in service of at least 90 days refer to Sec 531.203 (b)(2)(i) through (vii) and provide additional information for the Approving Official to determine eligibility)

Profile 1 Candidates: 2 to 3 years experience in career field. ____ Years ____ Months.

Profile 2 Candidates: 4 or more years experience in career field. ____ Years ____ Months.

Requested advanced in-hire rate of step_____.

Note 1: Assign advanced step request based profile 1 candidates 2 years=step 2, 3 years=step 3, 4+ years=step 4.

Note 3: Do not give credit for less than whole year increments.

Selecting Official Name, Grade_____

Unit/Title_____

MORANDUM FOR AZAA-HR

Date _____

FROM: Selecting Official/Nominating Official

SUBJECT: Advanced In-hire Rate Recommendation

Name _____ Step _____

In accordance with the AZNG GS-05/GS-06 Retention Plan for fiscal year 2001, _____ is recommended for an advanced in-hire rate based on superior qualifications and the special needs of this agency. The recommended rate is GS-05 or 06, step _____. Attached is AZNG Advance In Hire Rate Form which establishes eligibility and documents the criteria used to determine the advanced rate recommendation. In addition, the SF52 included in this package indicates the advanced rate and is provided for use upon approval of this recommendation.

Nominating Official Name and Grade _____
Title/Unit _____

Approve ____ Disapprove ____

Retention Allowance

Sec. 575.301 Purpose. An across-the-board likelihood to leave has been established. Losses have been experienced in both GS-05 and GS-06 from steps 1 through step 10. In addition, the unique qualifications of the employees has been established, as well as the special needs of this agency.

Sec. 575.302 Delegation of authority.

- (a) Supervisor, Nominating Official recommends the action and amount of percentage to AZAA-HR for review and approval the action.
 - (1) Applicable and eligible.
 - (2) through (6) Not applicable.
- (b) Not applicable. HRO review should cover this item.
- (c) Not applicable.
- (d) OPM or NGB or Western Region requirement based on this plan and annual reports.
 - (1) Acknowledged
 - (2) Acknowledged

Sec. 575.303 Definitions. Self-explanatory.

Sec. 575.304 Conditions for payment.

- (a) The overall plan precludes this from happening. Individuals are not eligible until after completing at least one years service.
- (b) Likelihood to leave is demonstrated retention analysis.
- (c) The allowance is terminated upon official notification of intent to resign.

Sec. 575.305 Agency retention allowance plans; higher level review and approval; and criteria for payment.

- (a) Requirement for a plan.
 - (1) This is it.
 - (2) Elements
 - (i) Same throughout plan.
 - (ii) Employees must have one year service minimum. GS-05/06 Steps 1 through 10 are eligible. A percentage of basic pay will be paid in accordance with above fore mentioned percentiles.
 - (iii) Civilian pay must do this.
 - (iv) Same as other provisions. The supervisor will forward original documents through the nominating official to HRO. HRO will maintain originals and return copies to supervisor for plan review and analysis.
- (b) Done...reference (iv) above.

(c) Criteria.

- (1) This plan serves as that written determination.
- (2) Again, the plan establishes the critical nature of this agency's manning situation in the GS-05/06 career fields.
- (3) Factors:
 - (i) Reference Hiring and Retention analysis.
 - (ii) Reference Background, and Hiring and Retention Analysis.

Sec. 575.306 Payment of retention allowance.

- (a) Civilian pay requirement.
- (b) Doubt that this is a factor, but Civilian Pay requirement.
- (c) Final Comments in this paper addresses an annual review procedure.
- (d) Acknowledged

Sec 575.307 Reduction or termination of allowance.

- (a) Civilian pay oversight requirement.
- (b) Reduction or termination.
 - (1) through (4) This agency plans a fiscal year review cycle. Implementation is hoped for 1 January 2001. Beginning in January 2001, the plan will be reviewed for success and necessary changes to be proposed in September 2001 for fiscal year 2002.
- (c) Individuals acknowledge receipt of this information on the request form.

Sec. 575.308 Internal monitoring. The plan's criteria are objective, which should yield consistent results. The annual review cycle by this agency will include data analysis. HRO review and reporting requirements will also ensure compliance.

Sec. 575.309 Records and reports.

- (a) Supervisors will maintain file copies. HRO will retain originals for requests from, and reports to, NGB or OPM as required.
- (b) Same as (a) above.

HRO/AZNG Retention Allowance Request

MEMORANDUM FOR Nominating Official

Date _____

FROM: Requesting Supervisor

SUBJECT: Retention Allowance Request

1. Request _____ receive a retention allowance in accordance with the AZNG GS-05/06 Retention plan for FY01 in the amount of _____, calculated as a percentage of basic pay by Civilian Pay for GS-05/06, step _____.
_____ has completed at least one year service with this agency, is fully-qualified in his assigned duties and is in full/part-time indefinite/permanent tenure employee.

Requesting Supervisor Name _____
Title/Unit _____

I hereby acknowledge receipt of Sec. 575.307(c), 5 CFR, regarding the fact that I have no appeal rights in the termination of a retention allowance in accordance with this agency's Retention Plan.

Name _____

Date _____

MEMORANDUM FOR AZAA-HR

Date _____

FROM: Nominating Official

SUBJECT: Retention Bonus Recommendation

In accordance with the AZNG GS-05/06 Retention Plan for fiscal year 2001,
_____ is recommended for a retention allowance in the amount
of _____, which calculated as _____ percentage of basic pay for GS-05/06,
step_____. Compliance with plan criteria is certified on the attached document.
_____ has acknowledged receipt of documents outlining the
appeal limitations upon reduction or termination of a retention allowance.

The attached SF-52 is provided for HRO's use in processing this action.

Nominating Official/Grade _____
Title/Unit _____

Approve ____ Disapprove ____

REQUEST FOR PERSONNEL ACTION

PART A - Requesting Office (Also complete Part B, Items 1, 7-22, 32, 33, 36, and 39.)

1. Actions Requested	2. Request Number
3. For Additional Information Call (Name and Telephone Number)	4. Proposed Effective Date
5. Action Requested By (Typed Name, Title, Signature, and Request Date)	6. Action Authorized by (Typed Name, Title, Signature, and Concurrence Date)

PART B - For Preparation of SF 50 (Use only codes in FPM Supplement 292-1. Show all dates in month-day-year order.)

1. Name (Last, First, Middle)	2. Social Security Number	3. Date of Birth	4. Effective Date
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FIRST ACTION

SECOND ACTION

5-A. Code	5-B. Nature of Action	6-A. Code	6-B. Nature of Action
5-C. Code	5-D. Legal Authority	6-C. Code	6-D. Legal Authority
5-E. Code	5-F. Legal Authority	6-E. Code	6-F. Legal Authority

7. FROM: Position Title and Number	15. TO: Position Title and Number										
8. Pay Plan	9. Occ. Code	10. Grade or Level	11. Step or Rate	12. Total Salary	13. Pay Basis	8. Pay Plan	9. Occ. Code	18. Grade or Level	19. Step or Rate	20. Total Salary/Award	13. Pay Basis
12A. Basic Pay	12B. Locality Adj.	12C. Adj. Basic Pay	12D. Other Pay	20A. Basic Pay	20B. Locality Adj.	20C. Adj. Basic Pay	20D. Other Pay				
14. Name and Location of Position's Organization	22. Name and Location of Position's Organization										

EMPLOYEE DATA

23. Veterans Preference <input type="checkbox"/> 1 - None <input type="checkbox"/> 3 - 10-Point/Disability <input type="checkbox"/> 5 - 10-Point/Other <input type="checkbox"/> 2 - 5-Point <input type="checkbox"/> 4 - 10-Point/Compensable <input type="checkbox"/> 6 - 10-Point/Compensable/30%	24. Tenure <input type="checkbox"/> 0 - None <input type="checkbox"/> 2 - Conditional <input type="checkbox"/> 1 - Permanent <input type="checkbox"/> 3 - Indefinite	25. Agency Use <input type="checkbox"/>	26. Veterans Pref for RIF <input type="checkbox"/> YES <input type="checkbox"/> NO
27. FEGLI <input type="checkbox"/>	28. Annuitant Indicator <input type="checkbox"/>	29. Pay Rate Determinant <input type="checkbox"/>	
30. Retirement Plan <input type="checkbox"/>	31. Service Comp. Date (Leave) <input type="checkbox"/>	32. Work Schedule <input type="checkbox"/>	33. Part-Time Hours Per Biweekly Pay Period <input type="checkbox"/>

POSITION DATA

34. Position Occupied <input type="checkbox"/> 1 - Competitive Service <input type="checkbox"/> 3 - SES General <input type="checkbox"/> 2 - Excepted Service <input type="checkbox"/> 4 - SES Career	35. FLSA Category <input type="checkbox"/> E - Exempt <input type="checkbox"/> N - Nonexempt	36. Appropriation Code <input type="checkbox"/>	37. Bargaining Unit Status <input type="checkbox"/>
38. Duty Station Code <input type="checkbox"/>	39. Duty Station (City - County - State or Overseas Location) <input type="checkbox"/>		

40. Agency Data	41.	42.	43.	44.
45. Educational Level	46. Year Degree Attained	47. Academic Discipline	48. Functional Class	49. Citizenship <input type="checkbox"/> 1 - USA <input type="checkbox"/> 8 - Other
			50. Veterans Status <input type="checkbox"/>	51. Supervisory Status <input type="checkbox"/>

PART C - Reviews and Approvals (Not to be used by requesting office.)

1. Office/Function	Initials/Signature	Date	Office/Function	Initials/Signature	Date
A.			D.		
B.			E.		
C.			F.		

2. Approval: I certify that the information entered on this form is accurate and that the proposed action is in compliance with statutory and regulatory requirements.	Signature		Approval Date
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PART D - Remarks by Requesting Office

(Note to Supervisors: Do you know of additional or conflicting reasons for the employee's resignation/retirement?
If "YES", please state these facts on a separate sheet and attach to SF 52.)

YES NO

PART E - Employee Resignation/Retirement

Privacy Act Statement

You are requested to furnish a specific reason for your resignation or retirement and a forwarding address. Your reason may be considered in any future decision regarding your re-employment in the Federal service and may also be used to determine your eligibility for unemployment compensation benefits. Your forwarding address will be used primarily to mail you copies of any documents you should have or any pay or compensation to which you are entitled.

This information is requested under authority of sections 301, 3301, and 8506 of title 5, U.S. Code. Sections 301 and 3301 authorize OPM

and agencies to issue regulations with regard to employment of individuals in the Federal service and their records, while section 8506 requires agencies to furnish the specific reason for termination of Federal service to the Secretary of Labor or a State agency in connection with administration of unemployment compensation programs.

The furnishing of this information is voluntary; however, failure to provide it may result in your not receiving: (1) your copies of those documents you should have; (2) pay or other compensation due you; and (3) any unemployment compensation benefits to which you may be entitled.

1. Reasons for Resignation/Retirement (NOTE: Your reasons are used in determining possible unemployment benefits. Please be specific and avoid generalizations. Your resignation/retirement is effective at the end of the day - midnight - unless you specify otherwise.)

2. Effective Date	3. Your Signature	4. Date Signed	5. Forwarding Address (<i>Number, Street, City, State, ZIP Code</i>)
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PART F - Remarks for SF 50

Pending Actions for Implementation

Since beginning the final construction of this plan, two of the six candidates offered positions have declined. Two current employees have indicated their intent to seek civilian employment outside the Federal Government. The problem demonstrated by this plan is not going away. The plan proposes to employ provisions which when compared with industry standards for monetary compensation are modest. The impact hoped for is encouragement to current and prospective employees that the agency is doing all within it's power to cope with an ongoing compensation deficit issue. We need only sway one individual per year to offset the overall cost of this plan. The following immediate actions are requested:

- 1) HRO—Forward and procure approval from AZ TAG.
- 2) Civilian Pay—Determine procedures and required documents for implementation.

Question regarding this plan may be addressed to Ms. Sue Wilson, DSN: 853-2789, Comercial 602-267-2789 or e-mail sue.wilson@az.ngb.army.mil. Please advise me immediately if there are any problems with this plan which will delay implementation.