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Supervisor Handbook

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THIS SUPERVISOR HANDBOOK IS DESIGNED TO SUPPORT SUPERVISOR LEARNING.

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1: Workforce Management

The content in the section provides an understanding of how a supervisor can effectively lead and manage their workforce. Workforce planning is essential and needs to be done with the planning tools that considers the requirements of today, tomorrow, and the near future as well as the skills to develop our employees to accomplish that work.

Key Considerations of Workforce Planning

- Supervisors need to illustrate competence as a human capital manager by planning, staffing, and managing their workforce based upon organizational goals, budgets, and operational needs.
- How your human capital resources fit in with the larger strategic picture will determine how effectively you have planned and staffed your workforce.
- A supervisor demonstrates effective workforce planning by understanding and implementing the elements involved within this function.

Workforce planning is a systematic process for identifying and addressing the gaps between the workforce of today and the human capital needs of tomorrow. Human capital is defined as the set of skills an employee acquires on the job, through training and experience, and which increase that employee's value to the organization. Overall, human capital is the accumulated stock of skills, experience, and knowledge that resides in an organization's workforce and drives productive labor. Human capital management is different than workforce planning in that it encompasses a greater number of factors and a significantly larger span of control dealing not just with people, but also work



processes, managerial structure, information and knowledge, decision-making and rewards. See http://www.opm.gov/hcaaf_resource_center/assets/Sa_tool4.pdf

Because the total number of eligible workers is shrinking, the remaining pool of individuals to hire is becoming smaller. Workforce planning can help find different strategies to effectively fill vacant positions. Future budget constraints have a direct effect on current and future hiring. Workforce planning can assist you, as a supervisor, identify the skills, competencies and knowledge needed to cope with these reductions. Because of the smaller recruitment pool and future budget constraints, workforce planning is more critical than ever in ensuring that:

- Organizations move from being reactive to proactive, since workforce planning addresses both current and future needs.
- Retaining employees is a key element to long-term success, therefore, organizations will need to be innovative and find new ways to retain employees. They may have to do some restructuring in order to do so.
- The right person is matched to the right job at the right time.

As a supervisor developing an effective workforce plan you should:

- Help define the long-term direction for your work group;
- Assess current and future workforce and identify skill gaps;
- Develop a plan to help bridge gaps in future needs;
- Work with supervisors and organizational leaders to develop long-term workforce plans at organizational level;

The workforce-planning model developed by the **Office of Personnel Management (OPM)** can be a help to supervisors at all levels; agency, organization, and team.

1. **The strategic direction:** This step involves linking the workforce planning process with the organization’s strategic plan, annual performance/business plan, and work activities required to carry out the goals and objectives of the strategic plan (long term) and performance plan (short term). At the team level, this step involves ensuring that your workforce plan is linked to the future team goals and objectives as well as those of the organization.
2. **Analyzing the workforce:** Determining what the current workforce looks like and how it might evolve over time through turnover, etc. Developing specifications for the kinds, numbers, and location of employees needed to accomplish the organization’s mission now and in the future. Determining what gaps exist between the current and projected workforce needs.
3. **Developing an action plan:** This step involves the identification of strategies to close gaps, plans to implement these strategies, and ways to evaluate progress in closing these gaps. These strategies could include such things as recruiting, training/retraining, restructuring organizations, contracting out, succession planning, technological enhancements, etc.
4. **Implementing the action plan:** Leaders ensure human and fiscal resources are in place; roles are understood; and the necessary communication, marketing, and coordination are occurring to execute the plan and achieve the organization’s mission, goals, and objectives.
5. **Monitoring, evaluating, revising the plan against milestones/timelines, while assessing and adjusting the plan to make corrections and to address any new workforce issues.**



Position Management

The basic objectives of position management are to use the most effective work processes, personnel resources, equipment, procedures, methods, and techniques. Through position management, managers and supervisors determine the type of organizational structure needed to fulfill the functions assigned to them, how many positions are needed, and how positions should be designed. The process is used to determine what is needed to accomplish the organization’s mission including:

- ✓ Number of positions.
- ✓ Job design.
- ✓ Competencies, knowledge, skills, and abilities.



- ✓ Organizational structure.

Position management is a primary function of a supervisor. As a supervisor, you are responsible for management of positions in your organization to achieve the best balance of economy, effectiveness, and skill utilization. You have a key role in determining job duties and responsibilities for each of the individuals you supervise, and as a result must ensure the position descriptions accurately describe the work assigned to the employee. Position descriptions should be concise yet clearly state the major duties, responsibilities, and supervisory relationships.

As a supervisor, you are responsible for:

- ✓ **Achieving the best balance of economy, effectiveness and skill utilization.**
- ✓ **Determining job duties and responsibilities.**
- ✓ **Ensuring accuracy of the position description.**

The primary responsibilities a supervisor has in the position classification process are three-fold:

- 1. Analyzing jobs against current duties and classification standards**
- 2. Working with Civilian Personnel Advisory Center (CPAC) or other HR agencies to determine and decide on classifications**
- 3. Ensuring the application of new or revised job standards.**

In the responsibility for classifications, as a supervisor you work closely with classifiers at the local CPAC and others, such as the organization's HR advisors. The supervisor helps determine the pay plan, title, series and grade of a position. Additionally, the supervisor assists in determining whether a position's proper FLSA designation is Exempt or Non-exempt, which has direct impact on how overtime is computed. For more information on Exempt vs. Non-Exempt rules, see the Fair Labor Standards Act (FLSA) at <http://www.opm.gov/flsa/>

Sometimes, new or revised classification standards or guidance is issued from the OPM, Department of Defense (DoD) or Headquarters, Department of Army (HQDA). It is the supervisor's responsibility to become familiar with the new standards and understand their impact on the title, series, and grade of current positions. Application of these new standards may require a new or updated position description. The CPAC classification expert should assist and guide supervisors through this process. All classification standards and other useful tools are found at the OPM website (www.opm.gov) and the US Army Civilian Personnel website (www.cpol.army.mil).

Recruitment, Hiring, and Selection

This information is provided to help you as a manager, supervisor, and likely selecting official understand as well as accomplish recruitment and selection functions. The material comes from the laws, policies, rules, and regulations governing hiring and their associated practices. The Department of the Army's Office of the Assistant G-1 for Civilian Personnel (DA G-1 CP) prepared the key elements within this section.

Classes of Jobs in the Federal Government

Most Federal government civilian positions are part of the competitive civil service. To obtain a Federal job, you must compete with other applicants in open competition. Some agencies are excluded from the competitive civil service procedures. This means that these agencies have their own hiring system, which establishes the evaluation criteria they use in filling their internal vacancies.

Competitive service jobs are under OPM's jurisdiction and subject to the civil service laws passed by Congress to ensure that applicants and employees receive fair and equal treatment in the hiring process. These laws give selecting officials broad authority to review more than one applicant source before determining the best-qualified candidate based on job-related criteria. A basic principle of Federal employment is that all candidates must meet the qualification requirements for the position for which they receive an appointment.



Excepted service agencies set their own qualification requirements and are not subject to the appointment, pay, and classification rules in title 5, US Code. These excepted service agencies are subject to veterans' preference. Some Federal agencies, such as the Federal Bureau of Investigations (FBI) and the Central Intelligence Agency (CIA) have only excepted service positions. In other instances, certain organizations within an agency or even specific jobs may be excepted from civil service procedures. Within the Army, excepted positions are normally found in the professional sciences and also in the security and intelligence fields. Positions may be in the excepted service by law, by executive order, or by action of OPM. Generally, the majority of employees are hired under competitive service but the type of appointment is dependent upon requirement, budget and authorization. The basic steps in the federal hiring process include preparing to hire, recruitment, screening, ranking, and selection.

The total hiring process incorporates what a regional Civilian Personnel Advisory Center (CPAC) must do, as governed by regulatory guidance and federal processes. It outlines OPM's End to End (E2E) hiring initiative which is a government-wide effort to streamline the hiring process for Federal Employees.

Appointment Options

There are several different types of appointments (also known as hiring options) that may be used by a supervisor/selection official. What appointment option you choose will depend upon the staffing needs of the organization. As a manager and supervisor you need to ask yourself these questions:

- ✓ Is this position required to fill a peak in temporary workload?
- ✓ Is this a new long-term positional requirement?
- ✓ Is there uncertainty that the position will be funded in the future?

The answers to these questions will guide you to which appointment option will work best for you and your organization. If an authorization exists for the position and the need for it is expected to continue over the long term, it is likely that you will want to hire a permanent employee. Permanent employees are generally hired into the Federal government under a career-conditional appointment. A career-conditional employee must complete three years of substantially continuous service before becoming a full career employee. Career-conditional employees are more vulnerable during layoffs than career employees.

Career/Career-Conditional Permanent employees:

The first year of service of an employee who is given a career-conditional appointment is considered a probationary period. The probationary period is important as it affords the supervisor an opportunity to evaluate the employee's performance and conduct on the job, and to remove the person without undue formality, if necessary. A person who is transferred, promoted, demoted, or reassigned before completing probation is required to complete the probationary period in the new position. Prior Federal civilian service counts toward completion of probation, if it is in the same agency, same line of work, and without a break in service. More information on career and career-conditional appointments, probationary period, tenure, and competitive status can be found at the Officer of Personnel Management (OPM) website (<http://www.opm.gov/>).

Temporary Appointment employees:

Temporary and term appointments are used to fill positions when there is not a continuing need for the employees' services. Neither type of appointment is a permanent one, so they do not give the employee competitive status or reinstatement eligibility. A temporary appointment is an appointment lasting one

year or less, with a specific expiration date. It is appropriate when an agency expects there will be no permanent need for the employee. An agency may make a temporary appointment to: fill a short-term position that is not expected to last more than one year, or meet an employment need that is scheduled to be terminated within one or two years for reasons such as reorganization, abolishment, or the completion of a specific project or peak workload, or fill positions that involve intermittent (irregular) or seasonal (recurring annually)

Hiring Process

Workforce planning is an essential part of the hiring process. Organizational leaders need to have an effective plan to cover employment contingencies such as a vacated position or the need to hire for new



authorized positions. The plan should also have the organization's process for analyzing job position requirements ensuring supervisors conduct thorough job analyses prior to beginning the formal hiring process. Currently, the table provided in this section (Table 2-1) only applies to competitive fills which have a referral list and vacancy announcement, and are filled through the Delegated Examining process.

In summary, effectively attracting and evaluating candidates, while following merit system principles and meeting veterans' preference requirements, drives the components within the hiring process. It is imperative that a regional CPAC and selecting official engage in hiring as a collaborative process with open communication and shared accountability. Advanced planning, the effective use of technology and clear and continuous communication are keys to an effective hiring process.

Alternative Personnel Systems

The greatest majority of the personnel within an organizational responsibility are part of the DoD Performance Management & Appraisal Program (DPMAP). A senior leader could lead employees with alternative personnel systems for pay and performance appraisal. These personnel systems can include the Army Defense Civilian Intelligence Personnel Systems (part of the DoD Defense Civilian Intelligence Personnel Systems [DCIPS]), the Physicians and Dentists Pay Plan (PDPP), the Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo), the Science and Technology Reinvention Laboratory Personnel Demonstration Projects (STRL), Non-Appropriated Fund (NAF) employees, and if in an overseas organizations local national employees (LN). In a role as a senior leader, it is imperative that leaders and supervisors understand the guidelines and policies for providing fair and equitable performance ratings for all employees regardless of performance plan. The requirements vary depending on the performance system.

Table 2-1 Total Hiring Process (per OPM)

Request approval to fill vacancy (this request may ultimately fall within your responsibility)
Review workforce analysis and understand skill gaps
Review position description for alignment with organizational mission and job requirements
Conduct job analysis
Create candidate assessment tool
Choose ranking methods
Draft and approve vacancy announcement
Post vacancy announcement
Perform applicant intake
Close vacancy announcement
Screen applicants for qualifications
Rate qualified applicants
Apply preferences
Review applications
Schedule and conduct interviews
Check references
Make selection and return certificates
Extend job offer
Initiate any required background checks (usually lies outside your agency or organizations responsibility)

As a supervisor, you need to effectively attract and evaluate candidates, while following merit system principles and meeting veterans' preference requirements. This drives the components within the hiring process. It is imperative the Civilian personnel centers supporting your organizations and appropriate selecting officials engage in hiring as a collaborative process with open communication and shared accountability. Advanced planning, the effective use of technology and clear and continuous communication are keys to an effective hiring process.

As a supervisor, you should ask yourself:

- ✓ Do I have a complete understanding of the laws, policies, rules and regulations that govern hiring practices?
- ✓ Is my hiring process thorough, organized and effective?
- ✓ Does my interview panel understand all the nuances of the interviewing process?
- ✓ Do I understand how to effectively minimize fill time?

Hiring FAQ's

1. Where can I find information on supervisor responsibilities during hiring?

Department of the Army Pamphlet 690-40

2. Who is ultimately responsible for making key decisions during the hiring process, the CPO representative or the supervisor?

The CPO representative who helps you fill your jobs will find answers to your questions and advise you on carrying out your role in the process. Remember, though, that filling jobs is a line,

not a staff, function. This means that even though the CPO staff can advise and assist you, YOU are ultimately responsible for making the key decisions.

3. What are some of the key decisions a supervisor may make during the hiring process?

- Whether a need exists for the job.
- What job requirements you have, and whether they can be "engineered" to a lower grade to enhance recruitment.
- The potential sources (unless mandatory or priority placement occurs) of candidates.
- Who will be selected?

4. When hiring for open job vacancies what are the three basic selection areas to choose from?

Special placement programs where the selection is nondiscretionary; candidates from DA; and non-Army candidates where you have more latitude in selection.

5. When considering special placements, what are some of the categories applicants may come from?

Re-employment priority; Re-promotion eligible; Employees facing Reduction-In-Force (RIF), Priority consideration eligible; Medical reassignment eligible; Overseas returnees; DOD Priority Placement Program (PPP); Displaced Employee Program (DEP), and the Military Family Act of 1985 lists.

Merit Systems Principles and Prohibited Personnel Practices

This section continues with an understanding of how the Army civilian workforce is led and managed in accordance with the Merit System Principles (MSPs) and in a manner free from Prohibited Personnel Practices (PPPs). Federal employees exemplify a highly qualified, diverse workforce managed in accordance with established guidelines and basic leadership principles. To ensure a more efficient and effective organization leaders follow basic principles while prohibiting unacceptable practices. The MSPs are good leader practices that help make certain the Federal Government is able to recruit, select, develop, and maintain a high-quality workforce. This conversely reduces staffing costs and improves results for the American people. The PPPs are illustrated as unacceptable practices since those actions undermine the MSPs and adversely affect the value and competence of the employees and the Government. There are ten MSPs and fourteen PPPs provided by title 5 of the United States Code (U.S.C.).

The Civil Service Reform Act of 1978, which incorporated the merit system principles into the law at section 2301 of title 5, United States Code, stated:

“...to provide the people of the United States with a competent, honest, and productive workforce...and to improve the quality of public service, Federal personnel management should be implemented consistent with merit system principles.”



Congress has oversight over all Federal agencies in carrying out their responsibilities to administer public business. Generally stated the law affirms that a federal employee, who has authority over personnel decisions, can reap merit principle benefits to ensure a more stable, highly qualified workforce while not violating any of the prohibited practices. When it comes to leading the Army civilian workforce, there are some senior leader considerations, but effective and meaningful principles of leadership are constant.

Office of Personnel Management

OPM works in several broad categories to recruit, retain and honor a world-class workforce for the American people. Its charter includes the following:

- ✓ Managing Federal job announcements and setting policy on government wide hiring procedures.
- ✓ Conducting background investigations for prospective employees and security clearances across government.
- ✓ Upholding and defending the merit systems in Federal civil service, making sure that the workforce uses fair practices in all aspects of personnel management.
- ✓ Managing pension benefits for retired Federal employees and their families while administering health and other insurance programs.
- ✓ Providing training and development programs and other management tools for Federal employees and agencies.
- ✓ Taking the lead in developing, testing, and implementing new government-wide policies relating to personnel issues.

Altogether, OPM works to make the Federal government America's model employer for the 21st century. (<http://www.opm.gov/>)

Principles of Civilian Personnel Management

Leading our Federal workforce is built upon the principles of integrity and merit. It is important for all senior leaders to understand and ensure the compliance of the personnel management systems based upon the embodiment of civilian policy guidance, principles, decrees, laws, and regulations. Through these principles, the Federal workforce promises to be a fair employer offering equal opportunity to all qualified citizens, and to make merit the underlying basis for all personnel decisions.

Leader Behaviors

The MSPs are worthy leader behaviors ensuring the Army and Federal Government are able to recruit, select, develop, and maintain a high-quality workforce and thereby reduce staffing costs and improve organizational results for the American people. Senior leaders, and all their subordinate leaders, have to ensure compliance of a personnel management system based on the embodiment of the MSPs.

These principles are the public's expectations of a system that is efficient, effective and fair, open to all, free from political interference, and staffed by honest, competent, and dedicated employees. PPPs are specific prohibited behaviors that undermine MSPs and adversely affect the effectiveness and

The Merit System Protection Board's mission is to protect the Merit System Principles and promote an effective Federal workforce free of Prohibited Personnel Practices.

efficiency of the workforce and the Government. Violating a PPP is a breach to the law and is subject to legal action. Leaders have to protect all employees (subordinates) and ensure a productive and efficient organization.

As a supervisor you should be aware that actions and behaviors on your part, intentional or not, could violate prohibited personnel practices. An employee who believes a Prohibited Personnel Practice has been committed can file a written complaint with the U.S. Office of Special Counsel. Employees do not need attorneys to file a complaint. OSC is an independent and prosecutorial agency. It will investigate allegations of prohibited personnel practices, and seek any corrective and disciplinary action. Most Federal civilian positions are covered by Prohibited Personnel Practice law; however, some positions may be excluded from coverage because of the nature of the appointment (example: confidential policy-



making positions, Presidential aides and political appointees) or because of the agency that the position is in (example: FBI, CIA, NSA, GAO). Note that complaint forms as well as filing online are available on the web at <https://osc.gov/Pages/PPP.aspx>

Conscientious and principled decision-making is necessary for Supervisors and others who exercise personnel authority. Those who take, direct others to take, recommend, or approve any personnel action should be familiar with the underlying core values embodied in the Merit Principles and Prohibited Personnel Practices.

Action Items – Workforce Management



After viewing the information about workforce management it is important that you familiarize yourself with your organization’s management processes and identify areas for improvement. Here is a list of action items that will assist you in making sure you are prepared to implement a quality workforce management plan.

- Identify your organization’s Human Resources (HR) Representative or your local Civilian Personnel Advisory Center (CPAC) Representative that can help you understand local policy and guidance.
 - HR Representative Name _____ Phone # _____
 - CPAC Representative Name _____ Phone # _____
- Identify the expected program changes over the next 1 – 3 years (5 years if possible). What will drive these changes?
- Identify your organizations strengths and challenges.
- Assess the skills of your current workforce. Do they meet current mission needs?
- Develop or review your plan for bridging the gap between the current and future workforce in the next 3-5 years.

FAQ's - Workforce Management

1. **I am a front-line supervisor. I can't do much about workforce (human capital) management decisions except implement them. Isn't managing our human resources above my pay grade?**

No. You can't manage human capital resources in your organization effectively unless you know how your human resource (HR) requirements fit within the larger strategic organizational HR plan. As a supervisor you need to contribute to the analysis and formation of the overarching organizational HR plan. The information within this plan is valuable in understanding your workforce while identifying trends impacting your workforce. Employee demographic and employment trends can impact your unit and impact future mission requirements.

2. **How can I work with my organization to ensure the retention of my employees?**

You can work with your organizational leadership to develop strategies, processes, and plans that provide for the continued growth and development of employees. This increases the current value of an organization's employees and can have a positive impact on their decision to stay or leave. Placing an emphasis on strong retention strategies can help your organization retain your valuable human capital assets.

3. **If I, as a supervisor, order an employee to leave work due to illness or injury, can I put the employee on administrative leave, or am I required to have them use their annual or sick leave?**

Excused absence (administrative leave) is not an entitlement, and supervisors are not required to grant it. The supervisor and their organization's determination to provide excused absence must be consistent with the organization and installation wide policy, along with any collective bargaining unit agreements, on granting excused absence. Obtaining an employee's agreement to take sick leave, annual leave, or leave without pay is preferable, but in some circumstances, a supervisor may require an employee to use his or her sick or annual leave or place an employee in a leave without pay status pending inquiry into the employee's medical condition. Such an action would be enforced leave. In addition, in rare circumstances when the agency has legitimate concerns that an employee's medical condition makes his continued presence in the workplace dangerous or inappropriate, a supervisor may place the employee on indefinite suspension in a non-pay, non-duty status pending a determination that the employee is fit for duty. These actions generally require advance notice, opportunity to reply, and an agency decision. The agency must have documentation sufficient to prove that its action was justified, and the employee may have the right to grieve or appeal the action taken. Supervisors should consult their human resources or civilian personnel offices prior to effecting either enforced leave or indefinite suspension.

4. **The first prohibited personnel practice (PPP) seems to repeat what merit system principle (MSP) two says** *(All employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights).* **Is there a difference?**

The first prohibited personnel practice (PPP), 5 U.S.C. § 2302(b)(1), is very similar to the second merit system principle (MSP), but the biggest difference between the two is that all of the merit system principles represent ideals for the way the Federal government should be proceed but they are not enforceable, standing alone. Thus, many of the principles have a similar PPP that serves to enforce the ideals represented by the principle. There are also some additional differences that are significant. PPP's name the specific law that prohibits the conduct and therefore gives it context and meaning because those laws have been subject to administrative and judicial litigation over their lifetimes.

5. As a supervisor with hiring authority are classification and qualifications the same thing?

"Classification" and "qualifications" are often confused; however, each has its own distinct function. Classification pertains to a position or job and the evaluation process that determines the appropriate pay system, occupational series, title, and grade/pay band. Qualifications pertain to a person and describe the knowledge skills and/or abilities a person must have to be successful in a particular occupation.

6. What can I, as a supervisor, do if one of my employees refuses to do something at my direction because it is not in their position description?

It is best to bring the employee into an office or private area and inform that employee all federal employees are required to comply with the legal and lawful instructions of their supervisors. An intentional failure to do so is insubordination and considered an offense serious enough for disciplinary action.

REFERENCES - Workforce Management

(If clicking on the links don't take you to the appropriate web page you may need to copy the URL and past it into your web browser)

5 U.S.C § 2302(b): http://www.gpo.gov/fdsys/pkg/USCODE-2010-title5/pdf/USCODE-2010-title5-partIII-subpartA-chap23.pdf
OPM (Human Capital Management): https://www.opm.gov/policy-data-oversight/human-capital-management/
FASCLASS: https://acpol2.army.mil/fasclass/inbox/
Merit Systems Protection Board: http://www.mspb.gov/index.htm
US Office of Special Counsel: https://osc.gov/Pages/PPP.aspx
DoD Standards of Conduct Office, Joint Ethics Regulation 5500.7-R: http://www.dod.mil/dodgc/defense_ethics

NOTES:

2: Performance Management

The content in this section provides an overview of some of the supervisor/employee interactions that occur throughout the performance management process. Onboarding, coaching, counseling, mentoring, training and development are all part of those supervisory responsibilities that contribute to improved organizational effectiveness in the accomplishment of agency mission and goals.

A: Onboarding

Key Considerations of Onboarding

- Supervisors play a critical role in ensuring the successful implementation of the onboarding process.
- For the Onboarding process to be successful it must be a team effort– Human Resources/CPAC Rep, Supervisor, and New Employee.
- 90% of employees make their decision to stay at an organization within the first six months, therefore, it is critical for organizations to make a positive impression when new hires come aboard.
- Effective onboarding can improve retention by 25%, reducing the costs of employee turnover.

As a supervisor, it is important to make the right first impression about your organization to new employees. The purpose of this section is to provide you with information about the human resource tool of onboarding new employees.

Onboarding refers to **the process of integrating new employees into the organization, of preparing them to succeed at their job, and to become fully engaged, productive members of the organization.**

It is important for a supervisor to understand the concept of onboarding.

Onboarding focuses on the following:

- ✓ A strong employer welcome
- ✓ Affirmation of the employee's right choice in a job
- ✓ Affirmation that the employee fits into the organization
- ✓ Long-term relationship building



You never get a second chance to make a first impression

Orientation vs Onboarding

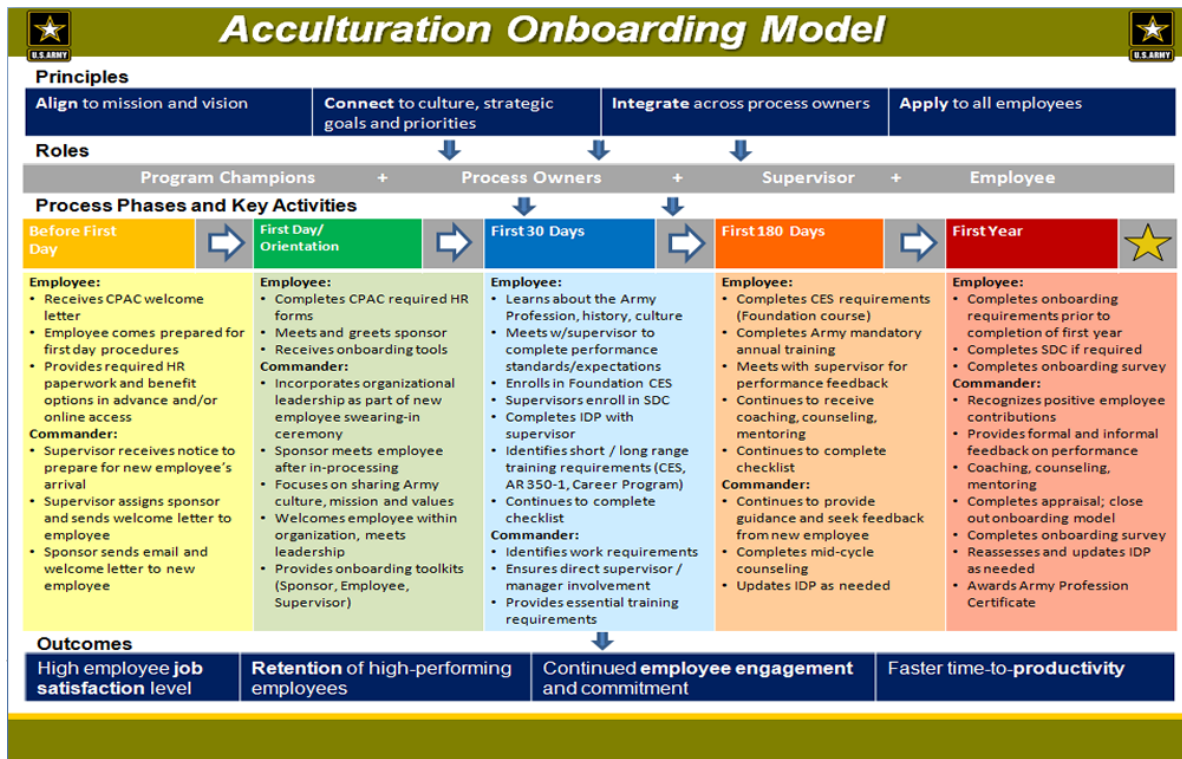
New employee orientation generally involves a first-day session at the local CPAC and may also include a first week of activities that familiarizes the employee with the organizations structure, mission, and policies. It typically includes the review and completion of necessary payroll and benefits paperwork.

Onboarding is a more comprehensive approach that starts before orientation and extends well beyond the first few days. In fact, the onboarding process will extend throughout the employee’s first year of employment. Onboarding is the process of integrating and acculturating new employees into the organization as well as providing them with the tools, resources and knowledge to become successful and productive members of the Army Profession.

TYPICAL ORIENTATION	ONBOARDING
Transactional focus and goals	Strategic focus and goals
Less than one week	Includes first year
Owned and executed by human resources office	Integrates multiple offices, functions, and individuals
Addresses some new employee needs	Addresses all new employee needs – from information, equipment and accounts to training and networking
Employee attends	Employee is active participant with vested interest in success
Yields new hires with completed paperwork and some general information	Yields successful first year for new employees – maximizes employee engagement and retention

The Onboarding Process

Review the sequence of events for the onboarding process. The best onboarding programs start before the employee’s first day (pre-boarding) and continues for up to 6 to 12 months. By stretching out the process, you help to ensure that the new hire is not overwhelmed on their first day.



For onboarding to be successful there are three elements that must take an active role in the process - the employee, the supervisor and the organization. Let's explore the role of the employee, the supervisor, and the organization in this process.



The Supervisor: ([Click here to access the Supervisor's Guide to Onboarding New Employees](#)) The supervisor's importance in onboarding cannot be overstated. All supervisors should:

- ✓ Welcome new employees
- ✓ Meet with new employees as soon as possible after orientation activities are completed
- ✓ Communicate job responsibilities
- ✓ Review the organization's performance management system and process
- ✓ Develop an individual performance plan that sets performance expectations

The supervisor must be proactive and engaged in facilitating the employee's successful integration into the organization over time. As a supervisor, it is important that you address the role of your attitude during the onboarding process. You should be:

- ✓ Approachable
- ✓ Understanding
- ✓ Available

The Employee: ([Click here to access the Army Civilian Acculturation Handbook](#)) The employee is responsible for being an active participant in the onboarding process. The employee has a responsibility (once on the job) to request a written plan detailing objectives and expectations, if not received from the supervisor.

As the supervisor, you have a responsibility to provide the new employee with objectives and expectations to help diminish any confusion about their job functions and open up the floor to discuss concerns or new opportunities.

When given a task where the employee does not understand the requirements, the employee should seek clarity of what is required to successfully complete the task. As a supervisor, it is important to

establish open communication early on to ensure the new employee feels comfortable approaching you when clarification is needed.

The Organizations: The organization is responsible for providing the overview of the five “W’s” of the onboarding process.

- **Who** – who are the participants in the process (HR manager, supervisor, employee, IT personnel, and co-workers)
- **What** – provide necessary administrative paperwork and start to orient the new employee with the organization
- **When** – this process starts before the employee is hired and can last up to a year
- **Where** – this process takes place within the organization with employees
- **Why** – there is a link between the quality of a new employee’s optimum performance and the likelihood they will remain with the organization

The organization has a responsibility to identify the stakeholders who will directly (hiring manager, mentor, etc.) or peripherally (senior leadership) impact a new employees productivity and feeling they are welcomed into the organization.

The importance of onboarding is realized at the highest level within the organization and is integrated completely across the organization. One of the many methods for this integration is communication at all levels within the organization.

Action Items - Onboarding



After viewing the information about onboarding it is important that you familiarize yourself with your organization’s onboarding process and identify areas for improvement. Here is a list of action items that will assist you in making sure you are prepared to implement a quality onboarding process.

- Identify your organization’s Human Resources (HR) Representative or your local Civilian Personnel Advisory Center (CPAC) Representative that can help you understand local policy and guidance.
 - HR Representative Name _____ Phone # _____
 - CPAC Representative Name _____ Phone # _____
- Get feedback from those newest to your organization about the onboarding process. You might ask them to provide their feedback on the overall process or ask them pointed questions about specific steps in the process.
- Review the items in the “Supervisor Toolkit” found at <http://www.tradoc.army.mil/dcspil/Acculturation>

FAQ's - Onboarding

1. **When will my new employee receive their first paycheck?**

Your first paycheck will be deposited the Thursday after the end of the pay period in which you were hired. You can access the Pay Periods and Pay Dates at:

<http://www.gsa.gov/portal/content/102507>

2. **What are some things to consider when picking a sponsor for the new employee?**

Selecting a sponsor is an important step in this process. There are a number of ways this can be accomplished: you can nominate someone, you can request nominations or you can request volunteers. Regardless of your method, please consider the following criteria in selecting a sponsor:

- Is a high performer in their current job.
- Is a positive role model.
- Understands the new employee's job.
- Understands the organization's mission and culture.
- Has patience and good communication skills.
- Has strong interpersonal skills.
- Shows interest in taking on the responsibilities associated with the sponsor role.

Remember, the sponsor will be part of the new employee's integration into the organization, so it is important to choose this person with care. We strongly recommend that any sponsors you select take the sponsor duties seriously.

REFERENCES – Onboarding

(If clicking on the links don't take you to the appropriate web page you may need to copy the URL and past it into your web browser)

Army Handbook for Leadership Transitions:

http://www.au.af.mil/au/awc/awcgate/army/leadership_transition_hdbk.pdf

United States Army Civilian Acculturation Program: <http://www.tradoc.army.mil/dcspil/Acculturation/>

Supervisor's Guide to Onboarding New Employees:

<http://www.tradoc.army.mil/dcspil/Acculturation/documents/Final%20Documents%20for%20Acculturation%20Program/Civilian%20Acculturation%20Supervisor%20Guide.pdf>

Army Civilian Acculturation Handbook:

<http://www.tradoc.army.mil/dcspil/Acculturation/documents/AcculturationHandbook.pdf>

NOTES:

B: Performance Management

Key Considerations of Performance Management

- Out of the 100 best companies to work for in America, 95% have a consistent, cyclical performance management process.
- Federal Employee Viewpoint Survey 2014 indicates that performance management is an area that needs improvement among Army civilians.
- Under the Total Army Performance Evaluation System, the minimum rating period is 120 days. This means employees cannot be rated until they perform under approved performance plans for at least 120 days.
- In the Federal Employee Viewpoint Survey 2014 less than 50% of the respondents' indicated that they were satisfied with the training they received for their present job.
- Approximately 5% of employees receive no rating at all.
- There is a perception that supervisors do not take steps to deal with poor performers.

This section is designed to introduce you to the Army's performance management process that, when followed, will assist you with involving your employees, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of agency mission and goals.

Managing employee performance is an integral part of the work that all supervisors perform throughout the year. The performance management process is a tool to assist supervisors in leading their employees to successful growth in their organization and maximizing their productivity. Being actively engaged with the performance management process allows supervisors to work collectively with employees towards common goals, provide a clear understanding of job expectations, enables regular feedback on performance and guidance for improvement, and rewards excellence. Successful implementation of this process will not only have a positive impact on your organizations ability to carry out its intended mission, but also on the overall climate and culture of your organization.



Numerous studies have shown that performance management is the most effective tool organizations have for getting work done and achieving positive results

Performance Management Defined

As a supervisor, you are in a position of leadership that allows you to assist and develop your employees giving them the tools and ability to successfully fulfill their role within the organization.

The objective of performance management, in accordance with Department of Defense (DoD) policy, is to improve individual, team, and organizational performance by setting clear and concise employee expectations; monitoring progress; aligning measurable individual goals with larger organizational goals; and recognizing as well as rewarding individual accomplishments, demonstrated competencies, and contributions to the mission.

Performance Management Systems

Currently, there is no system that has been adopted by all government agencies for the management of civilian employee performance. Listed below are some of the common systems currently in place.

Regardless of the different names and programs for performance management, each of them have common attributes that drive organizations forward, while preserving valuable resources and cultivating high-performing cultures.

Common Performance Management Systems

- DoD Performance Management and Appraisal Program (DPMAP) -
- Defense Civilian Intelligence Personnel System (DCIPS)
- Nonappropriated Fund (NAF)
- Physicians and Dentists Pay Plan (PDPP)
- Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo)
- Science and Technology Reinvention Laboratory Personnel Demonstration Projects (STRL)
- Local National Employees (LN) if in an overseas organization

Common Traits Among the Various Systems

- **Job Alignment** - An individual's work aligns with organizational goals and priorities. Employees must have a clear line of sight between what they do and how it supports the organization.
- **Expectations** - Employees receive performance objectives, goals, or standards, that describe what is expected of them at the fully successful level so they have an understanding of what is required to meet or exceed expectations.
- **Feedback** - Supervisors monitor performance throughout the year, and employees receive feedback about their performance.
- **Performance issues** - Supervisors handle performance issues in a prompt and appropriate manner.
- **Development of skills** - Employees have the opportunity to develop and enhance their skills and experiences.
- **Performance evaluation** - Supervisors appropriately rate performance.
- **Rewards** - Monetary and non-monetary rewards are available for exceptional performance.

NOTE

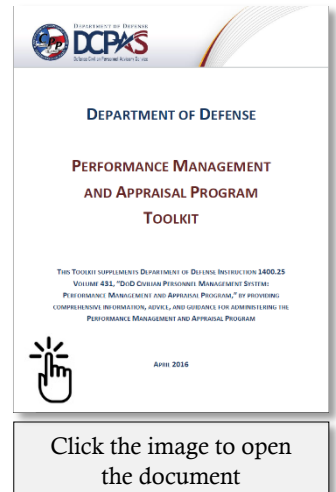
The Defense Department implemented a new three-tiered performance appraisal system called “DoD Performance Management and Appraisal Program” (DPMAP) for a majority of civilian employees in April 2016.

DoD Performance Management & Appraisal Program (DPMAP) Overview

Most supervisors in the Army will need to become familiar with the DoD Performance Management and Appraisal Program (DPMAP). The DPMAP applies to a majority of DoD appropriated fund civilian employees. Using this program helps supervisors recognize their employees' full performance potential by differentiating between high achievers and those requiring performance improvements, thereby assisting the Department in meeting its mission and goals. The DPMAP focuses on a continuous year long process of communication, development, and results rather than waiting until the end of the performance period.

DoD Performance Management & Appraisal Program (DPMAP) is intended to:

- Focus on employee engagement, development, performance, and accountability
- Align individual employee goals with organizational mission goals by supporting alignment and cascading of established organizational goals from executive to employee
- Create a culture of engagement by fostering ongoing feedback, constructive informal interactions, and continuous learning for supervisors and employees at every level
- Emphasize the continuous nature of performance management while deemphasizing the final performance appraisal by:
 - Providing continuous dialogue that allows for timely recognition and reward
 - Addressing technical and interpersonal development early and often
- Improve supervisory assessment, selection, development, and training



DPMAP Overview

- The Performance appraisal cycle runs from April 1 through March 31 of the following calendar year.
- A minimum of three documented performance discussions is required, with emphasis on continuous two-way communication.
- A 3-level rating pattern (Outstanding, Fully Successful, Unacceptable).
- Clearly developed performance elements linked to organizational goals.
- Descriptive performance narratives reflecting distinctions in performance.
- Documented performance that may be linked to other personnel decisions.
- Continuous recognition and reward both monetary and non-monetary.
- Focus on fostering a culture of high performance.
- An automated performance appraisal tool (MyPerformance) to facilitate performance planning, communications, and the appraisal cycle process.

Working Together to Achieve Success

After reviewing some of the components of the DPMAP it might be easy to begin feeling overwhelmed with your responsibilities as a supervisor, don't let this happen. Effective implementation of performance management requires the shared responsibility between supervisor and employee.

One of the intended outcomes of the Performance Management Process is that it allows both supervisor and employee the opportunity to interact and communicate in ways that make the entire process a team effort. This means that the supervisor and the employee have a shared responsibility from beginning to end. However, as a leader, it is important to demonstrate your interest in taking an active role in the employee’s work and development. Below are a few ways both supervisor and employee should participate in the performance management process to make it successful.

Supervisors are expected to lead the performance management process through:	Employees have the following opportunities to actively engage in the performance management process by:
<ul style="list-style-type: none"> Establishing clear performance expectations 	<ul style="list-style-type: none"> Seeking clarification about performance expectations
<ul style="list-style-type: none"> Developing and executing productive IDP’s 	<ul style="list-style-type: none"> Establishing Individual Development Plans (IDPs)
<ul style="list-style-type: none"> Giving periodic feedback, coaching, and counseling 	<ul style="list-style-type: none"> Taking advantage of learning and developmental opportunities that support work responsibilities and enhance career progression
<ul style="list-style-type: none"> Addressing poor performance as soon as it is identified 	<ul style="list-style-type: none"> Participating in performance monitoring activities
<ul style="list-style-type: none"> Realistically and fairly evaluating and rewarding performance 	<ul style="list-style-type: none"> Documenting results
	<ul style="list-style-type: none"> Seeking assistance if there is a problem with achieving expectations
	<ul style="list-style-type: none"> Providing information regarding their performance

Performance Management Process

Each step in the Performance Management Process is just as important as the next. They all rely on one another to meet the desired outcome. One of the problems that arises from working through a process is dealing with each of the steps as independent events. When this happens the focus tends to be only on the beginning and the end without much attention given to the steps in between. The end result of this is usually not the same as the desired result.





Step 1 - Planning for Performance

Planning for performance is the starting point for effective performance management. In most organizations, performance planning is mandatory. Typically within 30 days of the start of an appraisal cycle or upon joining an organization, employees must have written and approved performance plans that identify expectations and criteria for performance.

As a leader, initiating the planning phase demonstrates to your employee that you have a vested interest in them. From a few initial conversations, employees understand that you are aware of what it is they are working on and are willing to help remove any of the road blocks that might stand in their way of being successful in their job.

Establishing a Performance Contract

As a supervisor it is important that you work with each of your employees to establish a performance plan. This will outline the specific objectives and standards that the employee is expected to accomplish as well as training opportunities that will help them perform in their current role. Involving employees in the planning process is essential to their understanding the goals of the organization, what needs to be done, why it needs to be done, and expectations for accomplishing goals. Once the document is completed and signed, while not grievable, it signifies that all parties involved are aware of their roles and responsibilities in achieving the specified objectives.

In addition, performance plans should be flexible so that they can be adjusted for changing program objectives and work requirements. When used effectively, these plans can be beneficial working documents that are discussed often, and not merely paperwork that is filed in a drawer and seen only when ratings of record are required.

Think of the performance plan as a contract between the employee, the supervisor, and the organization. The contract:

- ✓ Specifies work to be done (objectives)
- ✓ Specifies conditions for success (standards)
- ✓ Identifies training for development
- ✓ Commits all parties by signature (document)



Under DPMAP, performance plans are documented using the automated performance appraisal tool (MyPerformance).

Developing Performance Objectives

Performance objectives are the hallmarks of an employee's position, giving them the blueprint to follow in order to achieve success in the workplace and a successful employee means a successful organization.

They also provide both the supervisor and the employee the criteria needed to objectively discuss, monitor, and rate performance, preventing surprises at the end of year discussion. Remember, the organization drives individual performance and individual performance drives the success of the organization. So after considering these preparation steps you will be ready to write objectives that are relevant to the current mission and goals of the organization.



Performance objectives are developed jointly by the supervisor and the employee and may be initiated by either party. However, as the supervisor leads the way in initiating this step, it demonstrates that performance plans are a priority and that the organization values high performance and employee development. It is also important that both supervisor and employee are aware of ways to tie an individual's objectives to those of the organization. **Consider the following before developing performance objectives:**

- Review strategic goals - Review the Command and organizational strategic goals and plans. Senior leaders of an organization develop goals and plans that not only tie into the higher headquarters mission but to the mission of DoD as well.
- Gather and review SOPs - Gather and review standard operating procedures (SOPs), guidance, and directives which may provide information on quantity, quality, or timeframe measures that employees need to achieve. Useful information may also be found from current position descriptions as well as previous performance plans.
- Categorize employee's work - While developing performance objectives, it is also helpful to group the work of the employee into large categories or functions. Ask yourself the following questions to get an idea of what the performance objectives should focus on:
 - What are the key job responsibilities and why are they important to the organization?
 - If the employee were not here, what would not get done?
 - On what does the employee spend the majority of their time working?

Writing Performance Objectives

The names for written performance objectives vary with the organization's particular performance management system: performance expectations, goals, elements, and standards are the most common names. Regardless of the name, performance objectives describe achievement at the fully successful level.



Performance objectives describe what an employee is accountable for achieving and hopefully exceeding. **Performance objectives:**



- Should be written in the SMART format
- Should focus on results
- Should link to organizational mission and goals
- Can be accomplished within the rating cycle
- May be modified at any time
- Reflect your primary responsibilities
- Describe achievement at the fully successful level

Employees and their supervisors should rely on the SMART framework to help them write clear, concise, measurable statements that describe the specifics of what the employee plans to accomplish. SMART objectives are:

- **Specific** - Clearly state the expected accomplishment that can be observed. To be specific, an objective must define an observable action, behavior, or achievement; link to a level of performance, frequency, percentage, or other number. Specific is related to the result, not the activities to achieve that result.
- **Measurable** (or observable or verifiable) - State the criteria for measuring accomplishments. Provide a method to allow tracking, recording, and validation of quality of a specific behavior, action, or outcome. Define quantity (how many), quality (how good), resources (how much), and time (how long, how often). When defining the measurability aspect of a performance objective, employees need to set it at a performance level that describes successful achievement or meeting expectations. Employees do not want to set the expectation of their result so high that they have no opportunity to exceed expectations. When possible, employees should avoid absolute standards (e.g., work must be completed within 7 days). Although there may be times when absolute standards are necessary (e.g., Accomplish safety checks of Blackhawk helicopters with 100% accuracy at all time), they make it difficult to assign any other performance rating than a Successful or an Unacceptable. If an employee includes in their performance objective that they will complete the work within 5 to 7 days, this allows supervisors to use 3 to 4 days as the standard for assigning an Excellent. But employees also do not want to set the expectation of their result so low that it is too easy to accomplish. The goal of performance objectives is to drive performance within an organization.
- **Achievable** - Examines capacity and conditions required to accomplish an objective. An objective must be appropriate for the employee's experience, skill and work level.
- **Relevant** - Expected accomplishments should be commensurate with the major responsibilities of the employee.
- **Time-bound** - State the timeline for expected results. For long-term projects that require more than one rating cycle to accomplish, performance objectives should identify what results are expected within the rating cycle. The time component can be specific (by 1 July, end of 4th quarter), relative to another event (6 months after...), or recurring (quarterly).



Below are a few example of performance objectives that were written using the SMART framework. See if you can identify where the objective is being Specific, Measurable, Achievable, Relevant, and Time-bound.

Poor Objectives	SMART Objectives
Lower the cost of this year's SMART Conference	Reduce the cost of the SMART conference by 20% by benefiting from process improvement and better procurement management.
Achieve efficiencies in the work unit to save time, money, or people.	By 30 September, develop and implement a process for work assignment in the unit to achieve a 50% reduction in overtime claims.
ITS supports professional development for staff	ITS offers Project Management, CRM, and Intro to ITS classes quarterly with the goals of 80% of the divisional staff trained by June 30th.
Submit a budget for the new computer system implementation	Submit a budget for the new computer system implementation process that accounts for all known requirements and costs by 31 March.

Results of the Planning Process

At the end of the planning phase of the performance management process, the employee should know:

- Their individual responsibilities and goals and how they relate to the goals of the organization
- Expected completion dates for the specified objectives that were jointly created
- What level of performance is expected by writing objectives at the “fully successful” level
- Criteria to be used to review and evaluate performance – metrics/success indicators by having objectives written using the SMART formula
- What developmental activities are available and expected to help them perform in their current roles and enhance their career opportunities
- That supervisors are invested in and willing to assist the employee to be successful
- How their individual job responsibilities and goals relate to the goals of the organization
 - Not written on the plan, but should be discussed in the meeting with the employee
- When they will meet again to discuss progress

Planning Summary

In an effective organization, work is planned out in advance. Planning means setting performance expectations and goals for groups and individuals to channel their efforts toward achieving organizational objectives. Getting employees involved in the planning process helps them understand the goals of the organization, what needs to be done, why it needs to be done, and the level of effort or responsibility required. The regulatory requirements for planning employees’ performance include establishing the elements and standards of their performance appraisal plans. Performance elements and standards should be specific, measurable, achievable, realistic, and timed. Through critical elements, employees are held accountable as individuals for work assignments or responsibilities.

Employee performance plans should be flexible so they can be adjusted for changing program objectives and work requirements. When used effectively, these plans can be beneficial working documents that

are discussed often, and not merely paperwork filed in a drawer and seen only when ratings of record are required.

Planning considerations include:

- Communication
- Planning work in advance
- Setting performance expectations and goals
- Getting employees involved in the process
- Establishing standards for performance appraisal plans
- Keeping plans flexible to adjust for changing work requirements

Action Items – Planning



Now that you understand the planning part of the performance management process here are a few action items to consider.

- Identify your organizations Human Resources (HR) Representative or your local Civilian Personnel Advisory Center (CPAC) Representative that can help you understand local policy and guidance.
 - HR Representative Name _____ Phone # _____
 - CPAC Representative Name _____ Phone # _____
- Identify any of your employees that have not received their initial counseling and set a date for that to take place.
- Review your employees' performance plans to ensure their performance objectives and standards are clear, concise, and measurable.
- If any part of the planning phase is still unclear review AR 690-400, Chapter 4302 and consult with your local CPAC representative



Step 2 – Monitoring Performance

The next step in the Performance Management process is monitoring employee performance. Here we focus on monitoring performance through effective communication, proper documentation, and dealing with marginal performers. In an effective organization, assignments and projects are monitored continually. This does not mean constant and vigilant checking of employees to see if they are doing their work. Rather, monitoring means:

- Documenting performance
- Communicating
 - Provide/receive feedback
 - Effective questioning
- Working with marginal performers
- Coaching for performance

Monitoring means consistently measuring, documenting performance, and ongoing communication with employees and work groups on their progress toward meeting their objectives. Monitoring should be thought of as an integral part of the development of your people. Regulatory requirements for monitoring performance include conducting progress reviews with employees in which their performance is compared against their objectives and standards. Ongoing monitoring provides the opportunity to check how well employees are meeting predetermined standards and to make changes to unrealistic or problematic standards. Marginal performance can be identified at any time during the appraisal period and assistance provided to address such performance rather than waiting until the end of the period when rating levels are assigned.

The Importance of Monitoring

Employees expect their supervisors to remain engaged and aware of their contributions. Through ongoing feedback, trust is established and sustained, issues are addressed before they become problems, and plans can be adjusted, as necessary, to meet changing requirements.

Small investments in time and effort throughout the year cultivate a trusting environment and encourage employees to remain focused on achieving organizational goals and priorities. Planning ahead by blocking out specific days and times to hold performance conversations prevents daily priorities from intruding.

As a leader, the monitoring phase of the performance management process allows you to demonstrate some of the traits or values you would like to see in your employees. In fact, not only are the Army Values required to be discussed and integrated into the performance plan (DPMAP) but a great leader will also display these values in his/her interactions with their employees. This also ensures that expectations and performance stay on track.

Giving Feedback

Performance feedback is best shared in real-time as it enables others to immediately apply what they have learned, and repeat or correct actions and behaviors. To know what behaviors to repeat, they need to know what you expect and how close they are to meeting or exceeding those expectations. There are two types of constructive feedback:



- Positive feedback provides accolades for a job well done or recognition of an admirable effort, thus reinforcing desired actions.
- Negative feedback definitively cites undesirable behaviors to be improved upon, and offers alternative methods or ideas for achieving a more desirable result in the future.



Remember, each phase of the performance management process is accomplished through the collaborative effort of both supervisor and employee. This means that throughout the monitoring phase feedback will need to be given and sometimes received.

You can provide meaningful performance feedback by detailing what behaviors should be repeated and by addressing specific areas for improvement. Using vague phrases like, “Good job”, “Superb”, “You should work harder”, and “The document is subpar” might leave the person receiving the feedback uncertain about successes or improvement areas. To give that feedback it is critical for performance discussions to be ongoing.

Poor Feedback

1. “Good job”
2. “The document is subpar”

Good Feedback

1. “I really liked how you did....”
2. “This document is missing these 3 key elements.....”

Active Listening

Active listening is a very successful set of listening skills that, when implemented, allow your employees to feel heard and understood. As a supervisor, having the ability to provide good feedback along with active listening enables you to communicate key information to your employees and accurately construe what your employees have intended to say. Doing this increases your chance of solving problems, resolving conflicts, and fostering deeper relationships of trust.

There are five key elements of active listening. They all help you ensure that you hear the other person, and that the other person knows you are hearing what they say. They are:

- Pay attention - Give the speaker your undivided attention, and acknowledge the message. Recognize that nonverbal communication also "speaks" loudly.
 - Look at the speaker directly
 - Put aside distracting thoughts. Don't mentally prepare a rebuttal
 - Avoid being distracted by environmental factors
 - "Listen" to the speaker's body language
 - Refrain from side conversations when listening in a group setting
- Show that you are listening - Use your own body language and gestures to convey your attention.



- Nod occasionally
- Smile and use other facial expressions
- Note your posture and make sure it is open and inviting
- Encourage the speaker to continue with small verbal comments like yes, and uh huh
- Ask questions - Our personal filters, assumptions, judgments, and beliefs can distort what we hear. As a listener, your role is to understand what is being said. This may require you to reflect what is being said and ask questions.
 - Reflect what has been said by paraphrasing. "What I'm hearing is." and "Sounds like you are saying." are great ways to reflect back
 - Ask questions to clarify certain points. "What do you mean when you say.,," "Is this what you mean?"
 - Summarize the speaker's comments periodically

Tip: If you find yourself responding emotionally to what someone said, say so, and ask for more information: "I may not be understanding you correctly, and I find myself taking what you said personally. What I thought you just said is _____; is that what you meant?"

- Defer judgment - Interrupting is a waste of time. It frustrates the speaker and limits full understanding of the message.
 - Allow the speaker to finish
 - Don't interrupt with counter arguments
- Respond appropriately - Active listening is a model for respect and understanding. You are gaining information and perspective. You add nothing by attacking the speaker or otherwise putting him or her down.
 - Be candid, open, and honest in your response
 - Assert your opinions respectfully
 - Treat the other person as he or she would want to be treated

Documenting Employee Performance

Ongoing documentation of performance, both good and when improvement is needed, is an important part of providing effective feedback. Doing this allows you to provide specific examples to the employee during progress reviews, during the end of year evaluation, or at other times throughout the year. This also helps track the details surrounding the accomplishment of goals and expected behaviors making it easier for you to write evaluations and coach employees on writing self-assessments.

At the beginning of this process, it is important that, as a supervisor, you take the opportunity to coach your employee on their roles and responsibilities with regards to documentation. Doing this will provide you with the opportunity to also see the progress from the viewpoint of the employee which may lead to another discussion about performance objectives and standards or an adjustment of them.

It is also important to remember that when tracking performance, documented information should be directly tied to the performance objectives. Try to avoid documenting thought or opinions, daily tasks or responsibilities, and inaccurate information. If you're not sure whether the information you are about to document falls in any of these categories it might be time for a brief discussion with your employee.



With documentation of performance taking place you now have the obligation to discuss your assessment with your employee.

Marginal Performers

Federal agencies cannot afford employees who are performing their duties less than fully successful. Government wide regulations recommend that agencies provide assistance whenever performance becomes marginally successful. However, unlike the regulations for dealing with employees who are unacceptable, the regulations do not specify what should be done for marginal performers. Some agencies have formal processes that supervisors must follow for assisting marginal performers. Other agencies use an informal process.

Here are a few tips for assisting marginal performers. In addition to following these tips, supervisors should also remember to check with their Human Resources office to see if their agency has a formal process for addressing marginal performance. You should provide:

- **Clear communication** - Supervisors must communicate clear performance standards and expectations. They should take time to look at the existing performance standards and make some changes if the standards don't really communicate their expectations. If employees don't understand what is expected, it is very hard — sometimes impossible — for them to meet those expectations.
- **Frequent feedback** - Positive, constructive feedback from supervisors, given whenever needed, is crucial to ensuring that employees know what they've done right and what needs improvement. Feedback should be specific, meaningful, and timely.
- **Increased supervision** - Marginal employees often require more direction. Supervisors should work closely with them, while understanding that the goal is for employees to work competently and independently.
- **Positive reinforcement** - Recognize good performance. Recognizing marginal employees when they do something correctly is another way of clarifying expectations and providing positive reinforcement. Recognizing good performance increases the likelihood that employees will repeat the performance.
- **Mentoring** - Have an outstanding employee serve as a mentor for the marginal performer. In this way, supervisors provide a model of desired performance.
- **Training** - In some situations, marginal employees need training because they lack the skills to perform at the Fully Successful level. Training can include formal classroom sessions, on-the-job training, and automated training aids.
- **Checklists** - Often employees performing at the marginal level require extra assistance in setting priorities and remembering procedures. Checklists can sometimes help employees stay focused on a task and organize their work.

Supervisor Reminder for Dealing with Poor Performance

The best way for supervisors to handle poor performance issues is to take action to avoid performance problems before they occur. By documenting specific examples of both successful and poor performance, regular discussion of these examples, and if needed, setting up a plan to correct performance issues, allows you to address all types of performance in a timely manner before they worsen or create resentment.



Monitoring Summary

In an effective organization, assignments and projects are monitored continually. Monitoring well means consistently measuring performance and providing ongoing feedback to employees and work groups on their progress toward reaching their goals. Regulatory requirements for monitoring performance include conducting progress reviews with employees in which their performance is compared against their elements and standards. Ongoing monitoring provides the opportunity to check how well employees are meeting predetermined standards and to make changes to unrealistic or problematic standards. Unacceptable performance can be identified at any time during the appraisal period and assistance provided to address such performance rather than waiting until the end of the period when summary rating levels are assigned.

Monitoring considerations include:

- Measuring performance and providing feedback on progress toward goals.
- Progress reviews comparing performance to established standards.
- Identifying and addressing marginal performers.

Small investments in time and effort throughout the year cultivate a trusting environment and encourage employees to remain focused on achieving organizational goals and priorities.

Action Items - Monitoring



Now that you understand the monitoring part of the performance management process here are a few action items to consider.

- Do you have any marginal performers? What can you do today to help your employee from becoming a poor performer?
- Identify ways in which you can make your feedback to your employees more specific, meaningful and timely?
- Develop a method for documenting performance on each of your employees.
- If any part of the monitoring phase is still unclear, consult with your local CPAC representative.

NOTES:

Step 3 – Developing

Assessing Employee Needs

Throughout the monitoring phase of the performance management process, it may become evident that one of your employees' performance is not meeting the set standards as defined in their performance plan, or your organization's mission has changed adding a new set of required skills to your workforce. In other words, you have identified a gap in their performance. Sometimes just communicating the problem with your employee is enough to fix the problem and bring their performance up to the acceptable level. However, there are also times when a developmental strategy is needed to close the performance gap. When this occurs, the best developmental activity is the kind that is tailored to the individual employee. This provides a good opportunity to modify the employees individual development plan (IDP).

To close an identified performance gap, organizations frequently concentrate narrowly on formal training programs as the only available performance solution. They send their employee off for a week long course and expect them to come back performing better than before. This may work some of the time, however, while formal training is definitely an integral part of developing your employees, many informal strategies are being neglected that, when done properly, have an immediate and lasting impact on development and performance.



- 70% of an employee's development occurs on the job
- 20% of an employee's development is through feedback and coaching received from a supervisor/mentor
- 10% is through formal internal/external education and training

Closing the Gap

The following are some suggested informal strategies that can be used:

- **Identify special projects and assignments to develop leaders**—most people learn by doing. Workshop training and formal courses can develop critical fundamental skills while on-the-job



experiences put those skills into play. If you can create opportunities for your employees to step outside their comfort zones and take on new responsibilities, they will gain invaluable experience.

- **Feedback** is a natural part of the monitoring process of performance management, but specific and timely feedback to employees about their performance against established expectations also provides the foundation for discussing developmental needs.
- **Coaching and counseling** provides individualized advice and instruction.
- **Mentoring** helps employees clarify career goals, understand the organization, analyze strengths and developmental needs, build support networks, and deal with road blocks.
- **Learning teams** can form to meet regularly to focus on improving performance.
- **Self-development** includes a broad collection of techniques and approaches, such as self-analysis of competencies and interests, reading lists, and attending demonstrations at other organizations.

While these informal developmental strategies cost very little, they have potentially big payoffs in terms of improved individual and organizational performance.

Evaluating Effectiveness

The most basic way to evaluate training is to measure whether the problem addressed by the training is being solved. The training can be evaluated by:

- Supervisors are in good positions to observe an employee's performance both before and after the training and not improvements or changes.
- The ultimate success of training are changes throughout the workplace that result in increased performance and productivity.

Four key questions to ask when evaluating training are:

1. Did the employee think the training was effective?
2. What did the employee learn?
3. Did the employee apply the learning on the job? This can be assessed through the performance evaluation process.
4. Did the training make a difference to the organization's effectiveness?

The supervisor and the employee should have follow up discussions to ensure that employees are developing appropriately for current performance as well as for succession planning purposes. The supervisor should assist employees in integrating and applying new skills to the work of the organization. Training that does not produce results should be changed or discontinued.

Transfer of Training

Transfer of Training is defined as the effective and continuing application, by trainees to their jobs, of knowledge, skills, and abilities, gained in training--both on and off the job. The Transfer of Training is a primary supervisory responsibility. As a supervisor, you should:

- Provide reinforcement of completed training
- Encourage the utilization of acquired skills in the work environment



- Provide a supportive organizational culture of continuous improvement through training and education

Your job is to provide a work environment that utilizes the training your employee just acquired, otherwise it is a wasted investment of time, money, and productivity. Employees need your support and encouragement to improve their performance on the job.

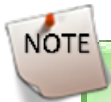
As a supervisor, you should discuss training goals before the employee begins a training course you have approved. When the employee returns - discuss what was learned and how the employee might make some changes and improvements as a result.

If you never allow employees to make changes, they will wonder why you ever sent them to training in the first place.

Career Programs

Career programs:

- Are comprised of occupational series and functional fields grouped together on the basis of population, occupational structure, grade range, and commonality of job and qualification characteristics.
- Were established to ensure there is an adequate base of qualified and trained professional, technical, and administrative personnel to meet Army's current and future needs.



The Army Career Tracker (ACT) is an integrated, easy-to-use career development system. ACT allows supervisors and employees to manage IDPs, find training opportunities, track professional goals, and more. Learn more at: <https://actnow.army.mil>

The Army has more than 30 career programs with training plans that describe recommended and required training for development and progression. If your occupation is in one of these programs and/or you have employees in one or more programs, you must become familiar with the training plans. The plans cover training from the intern level through journeyman or even supervisory and management levels.

As a supervisor, you must support the training plans of career programs and must manage a program to make this happen.

Through Civilian Personnel Online you can access the master training plans for each career program and view the Army Civilian Training, Education, and Development System (ACTEDS) training catalog which shows available training options.

What is an Individual Development Plan (IDP)?

An Individual Development Plans (IDP) is:

- An employee/supervisor collaboratively developed document initiated and prepared by the employee's supervisor. An IDP gives the supervisor and the employee an opportunity to collaboratively establish objectives that support both the organization's and the employee's needs and goals.



- A written plan for developing knowledge, skills, and competency an employee needs or desires. The IDP gives the employee a clear plan for working toward long-term career goals, and the supervisor a chance to channel the employee's efforts in ways that help the organization achieve its goals and mission.
- A way to organize and set priorities for learning and development experiences that will help an employee. The IDP helps the employee:
 - Improve their job performance
 - Manage their career development
 - Prepare for another job or position
 - Prepare for increased responsibility

As a supervisor, IDPs assist you in accomplishing many of your job responsibilities. IDPs help you:

- Identify skill/knowledge requirements of the job
- Help to improve your employee's performance
- Reinforce short and long-term goals
- Place emphasis on career objectives
- Identify necessary resources
- Aid in the budget process

Phases of the IDP process

The IDP process is a continuing cycle of planning, implementation and evaluation between an employee and the supervisor, for the mutual benefit of both the employee and the organization. The critical factors throughout all phases of the IDP process are the interaction and effective communication between the employee and supervisor. The IDP Process consists of five phases:

1. **Pre-Conference Planning** – is to prepare the supervisor and employee for their joint conference. Both the employee and the supervisor have specific preliminary data-gathering responsibilities.
2. **Employee-Supervisor Conference** - provides the opportunity for open communication about all that has been considered during the pre-conference planning phase. Each have specific responsibilities to ensure that the conference is effective and objectives are met so that an IDP form can be prepared.
3. **Selecting Developmental Activity** –The matching of identified developmental needs with available development activities is a major step in the IDP process. A major difficulty supervisors and employees encounter in matching needs with activities is that of selecting the optimum developmental activity that provides maximum learning.
4. **Preparing the IDP Form** – The IDP form is simply a means of formally documenting your plan.
5. **Implementing the IDP**- To implement the plan effectively , three actions are required on the employee's part:
 - a. **Documentation:** Formal training and developmental activities that involve exchange for funds, official time must be documented.



- b. Participation: Once the request for training is approved, it is up to the employee to carry through with the experience.
- c. Evaluation: The crucial step is applying what is learned to the job and practicing it.

Supervisor's Role

Employees should expect your help in:

- Understanding the IDP process and its purpose
- Identifying their strengths and weaknesses in performing their current work assignments
- Pinpointing areas where they could take greater responsibility
- Finding possibilities for career progression in their current jobs and work organization
- Obtaining access to learning resources
- Identifying non-traditional learning opportunities such as coaching, mentoring, self-directed studies, and shadowing

Employee's Role

Supervisors should expect employees to:

- Set goals and objectives that will benefit your organization as well as enhance his or her career
- Research ways of meeting personal career goals and enhancing work performance
- Evaluate his or her own progress and keep you informed
- Ensuring training and certifications are entered in Official Personnel File (OPF)

Developing Summary

In an effective organization, employee developmental needs are evaluated and addressed. Developing means, in this instance, increasing the capacity to perform through training, giving assignments that introduce new skills or higher levels of responsibility, improving work processes, or using other developmental methods. Providing employees with training and developmental opportunities encourages good performance, strengthens job-related skills and competencies, and helps employees keep up with changes in the workplace, such as the introduction of new technology. Carrying out the processes of performance management provides an excellent opportunity to identify developmental needs. During planning and monitoring of work, deficiencies in performance become evident and can be addressed. Areas for improving good performance also stand out, and action can be taken to help successful employees improve even further.

Developing considerations include:

- Evaluating employee developmental needs
- Training
- Coaching and mentoring
- Assignments requiring new skills, increasing responsibility
- Improving work processes

During planning and monitoring of work, deficiencies in performance become evident and can be addressed. Once developmental needs are identified, the developing stage is an excellent opportunity to help employees improve performance.

Action Items - Developing



Now that you understand the developing part of the performance management process here are a few action items to consider.

- Make sure each of your employees have an approved Individual Development Plan. For most of the Army these should be developed in the Army Career Tracker.
- What performance Gaps have been identified among your employees? Identify the best ways to bridge those gaps...special projects, shadowing, mentoring, formal training, etc...
- Go to the Army Career Tracker website and see if there is a training plan for each of your employees' career fields. <https://actnow.army.mil>
- If any part of the developing phase is still unclear, consult with your local CPAC representative

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Step 4 – Rating

Within the context of performance management, rating means evaluating employee performance against the objectives and standards established in the performance plan, summarizing that performance, and assigning a rating of record in the performance evaluation. The rating of record represents the official judgment of the employee's contribution to the organization for the entire performance period. When done correctly, this final evaluation of employee performance validates the entire process and establishes the supervisor's credibility with the employee. If the supervisor has carried out planning, monitoring, and developing effectively, most of the work for this phase of the process has already been done.



Writing the Evaluation

An evaluation is your written narrative assessment of the employee's performance as related to his or her documented objectives. Based on the documentation you compiled throughout the year, you can describe your employee's accomplishments, behaviors he or she exhibited in performing the work, and contributions he or she has made toward meeting the organizational goal and priorities by addressing each performance goal in your evaluation. A good evaluation includes:

- **Accomplishments and results:** Describe the employee's impact on the organization's mission and goals. Focus on results instead of tasks.
- **Performance level:** Include wording that describes the employee's level of performance for each goal. It must support and justify the rating you intend to give.
- **Behaviors:** Describe how the employee exhibited the expected behaviors/values while achieving his or her goals.
- **Challenges and added value:** Describe how the employee overcame challenges and dealt with special circumstances. Include wording that describes how the employee added value to the organization.

Once the written evaluation is completed check to see if it answers the following key questions:

- ✓ What did the employee achieve?
- ✓ How well did the employee achieve it?
- ✓ How did it help the organization?
- ✓ What expected behaviors did the employee exhibit?



Review a couple of sample evaluation statements for performance objectives

Objective: By 30 September, develop and implement a process for work assignment in the unit to achieve a 50% reduction in overtime claims.	
Poor Evaluation	John helped the organization save money by reducing overtime.
Good Evaluation	In just 3 months, John had built a better workload assignment system and implemented it. Not only was this 9 months ahead of schedule, it also reduced employee overtime by 55% and cut employee complaints in the organization by two thirds.
Objective: Provide customer service to an average of 2 customers per day (520 for the year) with an average customer satisfaction rating of at least 3.5 out of 5.0	
Poor Evaluation	John provided good customer service this year, helping the organization to succeed.
Good Evaluation	John served an average of 3 customers per day (over 700 this year). He received an overall 4.6 rating (out of 5) from customers where the unit average was a 3.8. I also received 8 written messages from his customers, all of whom praised his service.

Rating of Record

Some people mistakenly assume that performance management is concerned only with following regulatory requirements to appraise and rate performance. Actually, assigning ratings of record is only one part of the overall process (and perhaps the least important part). When done correctly, rating is just a summary of the employees' individual objectives, progress towards those objectives, and their development acquired to achieve those objectives.

Supervisors should compile performance data from various sources as a part of the rating process. It is often a good idea to ask employees to provide you with a self-assessment. They should be encouraged to keep track of their own progress using data identified during the planning phase so they can provide a complete account of their accomplishments during progress reviews and the final rating. Supervisors can talk to customers and peers, review documentation, and incorporate other feedback if available to ensure a complete picture of the employee's performance.

Within 30 days following completion of the appraisal period, the supervisor shall review the performance of each employee based on previously communicated objectives and standards and prepare the annual rating of record.

A narrative summary must be written for each critical objective, assigned a rating of Acceptable or Unacceptable, Met or Exceeded, Satisfactory or Unsatisfactory. Ratings may vary depending on your organization's rating protocol.

Discussing the Evaluation

Supervisors are required to share the rating of record with employees and like all other performance feedback, this should take place privately and in person. Supervisors should use specific examples to show the relationship between performance and the final rating of record. Supervisors should be prepared for this conversation by having clear and often communicated expectations and performance throughout the cycle, including providing constructive feedback, identifying and resolving performance shortfalls, and encouraging employees to document performance.



Before the discussion, supervisors should review the employee's objectives, performance, and evaluation; the employee's identified contributions; and the relationship between the employee's performance and any pay changes that have occurred. The discussion should focus on the employee's rating of record and how the rating ties to the employee's performance and behavior for each objective. Other topics to consider include training and development opportunities (formal and informal); potential barriers and opportunities for success; and the employee's options for reconsideration of the rating. To keep the discussion on track, supervisors should:

- Bring the evaluation and employee self-assessment to the meeting
- Have specific examples of behaviors that warrant the rating
- Have the performance standards available for reference
- Articulate examples of good performance and opportunities for improvement

If the conversation becomes difficult, supervisors should keep their emotions under control and stay calm and professional. In these situations:

- Allow the employee to voice concerns and listen to those concerns while focusing on the link between performance and the rating - stick to the facts
- Review scenarios for achieving and demonstrating higher performance and be prepared to develop an action plan with the employee to achieve higher performance

Reconsideration of the Rating

Even the most thorough preparation and feedback may not preclude employee concerns about or dissatisfaction with their rating. Employees concerned about the outcome of the rating of record can request a reconsideration of the rating. If at all possible, these concerns should be resolved informally at the lowest level possible. However, if that is not possible, employees may request formal reconsideration of the rating, which is accomplished using administrative grievance procedures, negotiated grievance procedures, or alternative dispute resolution, if applicable.

Supervisors should contact their Civilian Personnel Advisory Center Management-Employee Relations point of contact for specific guidance on local reconsideration procedures.



Allegations that a rating was based on prohibited discrimination, such as race, color, religion, sex, national origin, age, physical or mental disability, or reprisal may not be processed through the reconsideration procedures. Instead, such allegations will be processed through the EEO complaint procedures.

Addressing Poor Performance

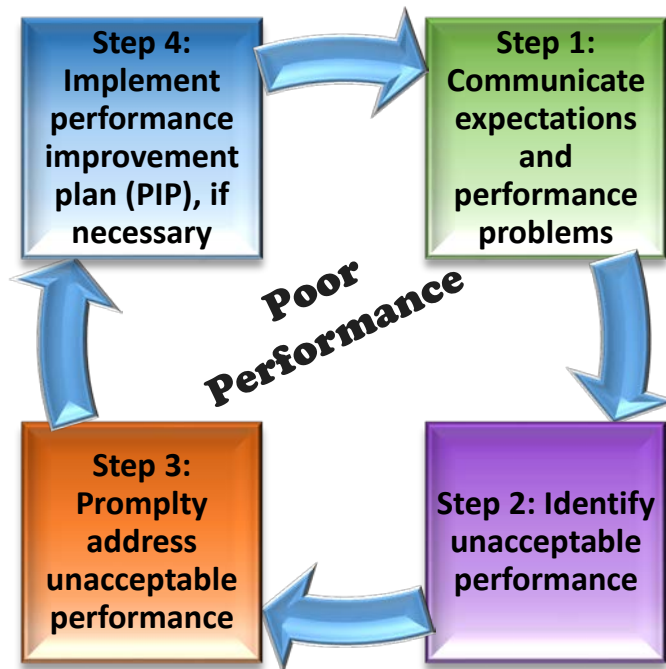
While the official rating of record comes at the end of the performance management process, it would not be appropriate to wait for this time to address poor performance. Rather, poor performance should be addressed as soon as it is identified, therefore, addressing poor performance could take place at any time during the performance management process. For example: Throughout the monitoring phase it may become evident that an employee's performance in at least one critical element is at the "unacceptable" level as described in the performance plan. If this happens, you owe it to the employee, your team, and yourself to address the issue immediately. Do not wait until a required discussion, like the mid-year performance review or annual evaluation. Ignoring performance issues will not make



them go away but could worsen the problem and create resentment. Addressing the issue not only means documenting and discussing it with the employee it also means setting up a plan to correct the problem. Addressing issues maintains a workforce that is equipped and ready to meet the demands of the organization and fosters a climate of trust, commitment, and team work.

Poor Performance Management Cycle

An effective leader will not wait to take corrective action when dealing with a poor performer. However, corrective action does not always mean immediate discipline. The goal of dealing with a poor performer is to help them improve their performance. This can be done by following the Poor Performance Management Cycle.



Step 1 – Communicate Expectations and Performance Problems

Poor performers are a serious concern for the Federal workforce, and one that the Government has historically had difficulties addressing. However, as explained in a recent report by the U.S. Merit Systems Protection Board (MSPB), *Addressing Poor Performance and the Law*, the biggest obstacle to addressing poor performers in the Federal Government is not created by a statute, but rather is simply a question of how supervisors manage the performance of their employees.

Well written performance plans are important to ensure that:

- **Employees understand what is expected of them.** Proper performance management includes things we discussed in the lesson on planning. Remember the performance plan, performance objectives, and critical elements? These are all developed with each employee to help them understand the goals of the organization, what needs to be done, why it needs to be done, and

expectations for accomplishing goals. It also allows them to see a description of what “success” looks like. Sometimes just developing or reviewing the performance plan with the employee can help deter behaviors or actions that lead to poor performance.

- **The performance plan will stand up under third party review if it is necessary to take a performance-based action (downgrade or removal) against an employee.** It is also important to remember that if a performance based action is necessary, (for example, removal or reassignment), the employee’s performance plan should be written so it can stand up under a 3rd party review. (Refer back to “Planning for Performance” section of this lesson for specific details.)

Step 2 - Identify Unacceptable Performance

Poor performance could be an issue of misconduct (an employee who won’t do the job) or a lack of performance ability (an employee who can’t do the job). Misconduct is generally a failure to follow a workplace rule (whether written or unwritten). Examples of misconduct include tardiness and absenteeism, insubordination, and falsification. Poor performance, on the other hand, is simply the failure of an employee to do the job at an acceptable level. The acceptable level is described in the performance plan and is typically defined in terms of quality, quantity, or timeliness. Although it is normal for performance and misconduct to be interrelated, it is important to recognize the difference between the two and to address them accordingly. **The guidance in this section is designed to help you address and resolve problems that are primarily performance based rather than misconduct.**

It’s important to carefully consider the cause or causes of a performance problem before attempting to deal with it. The reason is that different actions are likely to be effective in different situations. Also, some causes are employee based, while some are organization based. When developing the right action to address the problem, consider whether the cause of poor performance is:

- **Lack of effort** - If the root cause of a performance problem is an employee’s lack of effort, then counseling, a direct warning, and then either discipline or a performance based adverse action would make sense.
- **Lack of resources** - If the root cause of the problem is a lack of resources or skills necessary to do the job properly, counseling, warning and then disciplining the employee won’t help at all and may make things worse.
- **Disability** - Similarly, if the root cause of the performance problem is a disability that could be reasonably accommodated, taking the traditional counseling/warning/discipline route would not only be ineffective, but would violate laws and regulations.
- **Personal issues** - If the cause of poor performance is due to personal issues like depression, substance abuse, family issues, etc., you should encourage them to take advantage of the personal services offered through the Employee Assistance Program (EAP).

NOTE

Be sure to involve your local Human Resources Office in this process as they will be able to assist you with the appropriate way to handle poor performance related issues or

Step 3 – Promptly Address Unacceptable Performance

Once you have identified the cause of the performance issue, it is important that you act immediately to address it. In this process, immediate action equals informal feedback and development. Providing your employee with informal feedback serves two purposes; First: it needs to be communicated clearly so that the employee has no doubt you are telling them their performance is unacceptable to do this, take time to prepare; Second: During the informal feedback period identify training or development opportunities that may be used to address the core issue for the poor performance. Poor performance issues can be addressed through formal education and training, special projects or assignments, or coaching and mentoring just to name a few. To review other areas for developing poor performers, review the lesson on “developing”.

Before providing informal feedback, first take time to prepare:

- Gather samples of poor work
- Gather feedback from other sources, if appropriate
- Write down the points you want to make
- Review performance plan
- Review individual development plan (IDP)
- Make sure all communications are kept private
- Document your conversations

Then identify training or development opportunities.

Providing Informal Feedback

Providing an employee with informal feedback is an essential step to correcting poor performance. Doing this helps the employee know that you are aware of the problem and willing to work with them to identify a solution. The following is a list of suggestions that may be used to guide the conversation along to achieving a desired solution.

- State what has been observed, using facts not emotions
- Provide a statement regarding the impact of the action on others, or state the standard for acceptable work under the performance plan
- Wait for a response (let them talk)
- Ask for a solution; give suggestions, if needed
- Agree on a solution together
- Set a follow up date and time
- Thank the employee for their time
- Document everything and file it away

Providing Formal Feedback

If an employee’s performance continues to be unacceptable after informal feedback has been given, the next step would be to take a more formal approach. The key difference between informal and formal feedback is that formal feedback is heavily documented. This allows you to make a record of your efforts to assist the employee with their performance issues as well as demonstrate to the employee that this is a serious issue that may involve unwanted consequences. Continue to provide the employee opportunities to develop and improve their poor performance through coaching, mentoring, special jobs

and assignments, formal training, etc., it is also important that you contact your servicing Human Resources Office as they may assist you in filling out any forms required by your organization. The same preparation steps and communication tips you learned under “Informal Feedback” are useful here as well.

Formal Feedback:

- Is always provided to an employee both verbally and in writing
- Tells the employee the critical element in their Performance Plan under which their work is unacceptable, and why
- References or attaches specific examples of unacceptable work
- Could make its way to a third party (so ask your Human Resources Advisor if you need help)
- Must be followed by an opportunity for the employee to improve

Also, before moving any further through the poor performance management cycle make sure you answer the following questions:

1. Are you sure the issue is primarily a performance problem as opposed to misconduct?
2. Have you communicated the standards to the employee?
3. Are the standards clear and reasonable?
4. Have you coordinated with your Human Resource Specialist?
5. Have you told the employee which objectives he or she is failing?
6. Have you counseled, mentored, and trained the employee?

Step 4 – Implementing a Performance Improvement Plan (PIP)

When efforts fail to improve employee performance, the last resort for a supervisor is to implement a Performance Improvement Plan (PIP). A PIP is a formal memorandum notifying an employee that their performance of at least one critical element is at the “Unacceptable” level, and contains a plan to lead the employee toward improving performance. The PIP is a mechanism that meets the requirements of 5 CFR Part 432 to provide an employee with a formal opportunity period to improve performance before a removal or demotion action can be taken based on unacceptable performance.

A PIP should include the following information:

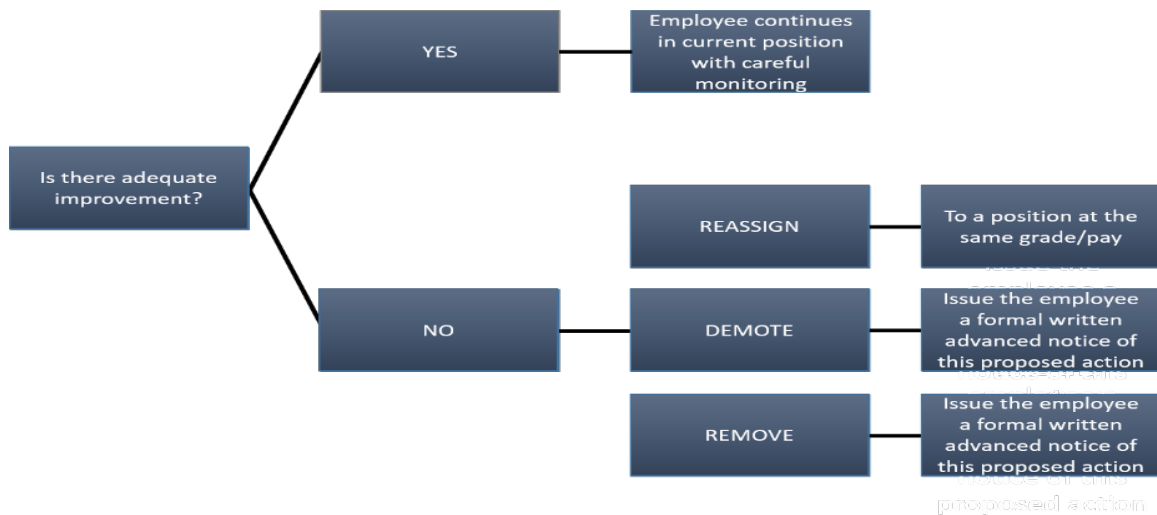
- Identify duration of opportunity period
- State critical element(s) needed to improve
- Include performance requirement(s) and standard(s) needed to bring performance to “meets expectations”
- Specify assistance to be given
- Include a statement that includes consequences



The actual performance plan will need to be developed with the help of your Human Resources office as it will need to go through a formal legal review.

Concluding the PIP

Deciding what comes next depends on the employee's performance at the conclusion of the performance improvement plan period. If the employee has reached an acceptable level of performance, there is no need for any action, except to keep providing feedback and encouragement to the employee. If the employee is still performing unacceptably, you must determine the best solution. Your options include reassignment, demotion, or removal. **Before you reach a decision on what to do, consult your human resource office on what your responsibilities are.**



Rating Summary

In an effective organization, employee performance is assessed against the objectives and standards described in their performance plan. Informal rating should take place throughout the process with frequent review of the performance plan and discussions about the level of performance. During the mid-year evaluation and end of year appraisal employees should receive a written narrative assessment of their performance based on documentation compiled throughout the year as well as input from the employee. This assessment should include the employee's accomplishments, behaviors they exhibited in performing their work, and contributions they have made toward meeting the organizational goals and objectives.

Rating considerations include:

- Evaluating performance against standards in the performance plan
- Verification that the position description is current and accurate
- Discussion of developmental progress review

Supervisors should plan and prepare for the rating process throughout the appraisal period and not just at the end of the appraisal period.



Now that you understand the rating part of the performance management process here are a few action items to consider.

- Plan ahead for the rating period by reviewing all of your documentation on their performance.
- Review some of the past evaluations you have written and make sure they answer what the employee achieved, how well they achieved it, how it helped the organization, and the expected behaviors the employee exhibited throughout the year.
- Ensure you are familiar with the process for dealing with an employee that has failed to meet one or more of their performance objectives.
- If any part of the rating phase is still unclear, consult with your local CPAC representative

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Step 5 – Rewarding

Supervisors are responsible for creating a work environment that supports high employee motivation and engagement, high job satisfaction, high organizational commitment, and low turnover.

One of the ways supervisors achieve these outcomes is by encouraging excellence in all employees do as a strategic goal and by recognizing and rewarding superior performance when it is demonstrated. This section is designed to help supervisors better understand and utilize the many reward, recognition, and incentive options available to build and sustain a high performance workplace.

Awards should be granted when merited regardless of the employee's grade, level of responsibility, or type of responsibility. It is important that awards be granted for job-related contributions only if the contribution is clearly beyond performance requirements and has not been previously rewarded in the prior normal performance evaluation cycle. The granting of awards should be considered judiciously by supervisors, especially in the area of performance awards, in order to avoid giving the impression that it is an employee's entitlement. Awards should only be granted where fully deserved, to those who meet the criteria, and with full explanation as to the accomplishments being recognized. In this way, you will maintain employees' confidence in the value and integrity of awards granted in your organization.

The various awards can be grouped into three recognition categories:

- A monetary award is a cash payment that does not increase the employee's rate of basic pay.
- An honorary award is not a cash payment or time-off, but rather an award of a honorific value. For example, a letter of appreciation, certificate, medal, plaque or item of nominal value.
- A time off award is where time-off from duty is granted without loss of pay or charge to leave for which the number of hours granted is commensurate with the employee's contribution and accomplishment.



To review the different kinds of Army awards go to PERMISS at

[Http://www.cpol.army.mil/library/permis/53.html](http://www.cpol.army.mil/library/permis/53.html)

Types of Awards

Major types of awards are:

- **A Special Act or Service Award** is a cash award given to recognize a meritorious personal effort, act, service, scientific or other achievement accomplished within or outside assigned job responsibilities.
- **A performance award** is a monetary award given in recognition of high-level performance for a specific period.
- **A Quality Step Increase (QSI)** is an additional within-grade pay increase for GS employees with an exceptional rating of record for the current rating period.
- **On-the-spot award** is a small Special Act or Service Award which may be given by a supervisor for day to day accomplishments of subordinate employees.
- **Time off award:** Employees may be granted up to 80 hours of time off during a leave year without charge to leave or loss of pay as an award for achievements or performance contributing to the Army mission.

- **Length of service certificates** are used to recognize all Federal and military service in 5-year increments provided that one year of total service has been served as a civilian employee.
- Supervisors may grant **informal recognition** devices. No review or processing by any incentive awards committee is required unless provided for under local procedures. This category of recognition provide memory and trophy value (e.g., mementos, plaques, mugs, badges, paperweights, etc.). The item must:
 - Be something that the recipient could reasonably be expected to value but not something that conveys a sense of monetary value.
 - Have a lasting trophy value.
 - Clearly symbolize the employer-employee relationship in some fashion, affixing a logo represents this relationship.
- An **Honorary award** is not a cash payment or time-off, but rather an award of an honorific value. For example, a letter of appreciate, certificate, medal, plaque or item of nominal value.
- **Public Service awards** include Decoration for Distinguished Civilian Service, Secretary of the Army Public Service Award, Outstand Civilian Service Award, Commander’s Award for Public Service, and Certificate of Appreciation for Patriotic Civilian Service. Public Service Awards are granted by the President and DOD. Specific information related to eligibility covered in DA PAM 672-20.

Rewarding Performance

Supervisors do not so much motivate employees directly as they influence what employees are motivated to do. Rewards can be that tool used to provide the appropriate incentive that motivates employees to achieve high performance. To be effective, rewards need to be:

- ✓ Meaningful – Make sure that the recognition has value to the individual receiving it. You may even give the employee the opportunity to decide how their recognition will be rewarded.
- ✓ Timely – Recognition for a job well done is most meaningful and has the most impact when done when the work was performed. Waiting to recognize an employee until the next town hall has a tendency to lose its effect and may not carry the same organizational impact.
- ✓ Specific – Ensure that the recognition is tied to a specific motivating event. The recognition is absolutely linked to specific motivating events (e.g., sales targets, living company values, etc.), is clearly defined, and is part of a total recognition system of the organization.

Nomination for Award

Recognition for an award begins with the supervisor choosing the appropriate award and level. The supervisor prepares Form 1256 to nominate, document, justify, and initiate the award nomination process. Completion of the form is straight forward, however, supervisors need to be familiar with both local command policy and any applicable Collective Bargaining Agreement(s). When the award is approved, the supervisor presents the award to the employee.

Nominations will be submitted on DA Form 1256 (Incentive Award Nomination and Approval). AR 672-20 provides instructions.

Justification Outline

As an aide in preparing a justification narrative for an award follow these four elements:

1. During the period of... .. (give time of performance), (individual/group) did what. Beginning paragraph should start with this sentence.
2. This exceeded expected performance... ..as identified in the current position description by:
 - Improving quality
 - Timely completion of the project
 - Increasing productivity
 - Overcoming adverse obstacles or working under unusual circumstances
 - Using unusual creativity
 - Saving the Government time and/or money
 - Increasing program effectiveness
3. As a result...
 - Project acceptance
 - Savings in time, money, and/or material
 - More efficiency
 - Effectiveness
 - Technological advancement
 - Productivity increase
 - Improved levels of cooperation
4. Therefore, I propose an award of... ..(amount/hours) which has been calculated using the (Tangible Benefits/Intangible Benefits/Time Off Scales in AR 672-20)
 - If based on measurable benefits, enter the expected Benefit to the organization.
 - If based on un-measurable benefits, enter the Value of Benefits and the Application.

No Performance or Achievement Awards for Employees Who...

Monetary and honorary awards for performance or achievement will not be made to an individual who has been actively and substantially involved in unlawful discrimination based on race, color, religion, sex, age, national origin, marital status, or handicap.

In addition, no discretionary monetary or honorary award for performance or achievement will be made to an individual who:

- ✘ is either under investigation, or upon whom disciplinary or adverse action based on performance or conduct is pending.
- ✘ was the subject of a disciplinary action within the preceding 120 days.

Rewarding Summary

In an effective organization recognition and rewards are an integral part of performance management. Rewarding performance means providing incentives to, and recognition of, employees for their performance and acknowledging their contributions to the organization's mission. Doing this provides value to the employees as well as motivation to achieve or sustain a high level of performance and services. Awards may come in many forms, including monetary, time off, and honorary awards, etc., whichever form of recognition and reward is used, it is most effective when it is meaningful, timely, and specific. A rewards program that is a priority has the potential to showcase high performance, drive employee engagement, and retain top performers.

Recognition is an ongoing, natural part of the day-to-day work experience. Rewarding considerations include:

- Rewards that are meaningful, timely, and specific
- Rewards that are based on annual performance appraisals as well as specific achievement at any time during the appraisal period
- Cash, time off, quality step increase, certificates and coins

Rewarding employees with monetary, honorary, or time-off awards can help supervisors to sustain high performance levels and increase motivation.

Action Items – Rewarding



Now that you understand the rewarding part of the performance management process here are a few action items to consider.

- Identify an employee or team of employees' that have exceeded one or more of their performance objectives and develop a plan for rewarding their efforts.
- Construct an email to one or more of your employees' that continually perform their work to standard and express your gratitude for their efforts in a way that is meaningful to them.
- Check with your local CPAC to identify local policy regarding performance plans.
- Check with your senior leaders to see what resources are available for rewarding your high performers.
- If any part of the developing phase is still unclear, consult with your local CPAC representative.

NOTES:

FAQs - Performance Management

1. Why should I consider employee input in performance plans?

While performance plans and ratings are a supervisor's responsibility, including the employee in the process is important for a couple of reasons. They may know their jobs better than anyone else and are more likely to take plans seriously if they have a voice in creating them.

2. Is there a minimum amount of time an employee must be under the direction of a supervisor before that supervisor can rate that employee?

Government wide regulations do not establish a minimum time that an employee must be under a supervisor before he/she can be rated. Instead, the regulations require that appraisal programs establish a minimum appraisal period (a minimum amount of time that employees must work under a specific set of elements and standards) before they can be assigned a rating of record. As long as a supervisor has the necessary information and the employee has been under an established set of elements and standards for the minimum appraisal period, the supervisor can assign a rating.

3. Can I use agency funds to buy gift certificates as incentive awards for employees?

No. Only cash and cash surrogates (vouchers readily exchangeable for cash) can be used in incentive awards programs. However, gift certificates of nominal value may be used in informal awards programs.

4. Can I overdo awards?

Yes you can, and it happens all the time. Handing awards out like candy is a good way to demotivate your good employees that continually strive to improve their performance. Don't cheapen your program by over-rewarding small achievements. Instead, make it a rule that performance awards are used for exceptional and improved performance.

5. I provide my employees quality feedback every year during their annual performance appraisal. Isn't that enough?

For some employees an annual review of their performance with feedback might be sufficient but this is not a good business practice. Positive and constructive feedback that is continuous and frequent throughout the year can eliminate surprises during the appraisal which can lead to an appeal.

REFERENCES - Performance Management (If clicking on the links don't take you to the appropriate web page you may need to copy the URL and past it into your web browser)

Title 5 USC Chapter 43
5 CFR Part 430

DoD Instruction 1400.25 Subchapter 430 – Performance Management and 431 – Performance Management and Appraisal Program: <http://www.esd.whs.mil/DD/DoD-Issuances/140025/>

OPM reference materials on performance management:
<https://www.opm.gov/policy-data-oversight/performance-management/>

DCPAS DPMAP Website: <https://www.cpms.osd.mil/Subpage/NewBeginnings/DPMAP>

A Handbook for Measuring Employee Performance: https://www.opm.gov/policy-data-oversight/performance-management/measuring/employee_performance_handbook.pdf

Performance Management – Forms

Incentive Award Nomination and Approval (DA Form 1256)

3: Labor and Employee Relations

The content in this section is particularly important to those supervisors of employees who fall under a collective bargaining agreement. However, every supervisor will be able to glean some very useful information from this lesson. If you are unsure if you oversee collective bargaining employees, check with a Labor Management Employee Relations (LMER) specialist located in your Human Resources (HR) Office.

A: LEAVE

Key Considerations of Leave

- A leave restriction letter is not about having clear proof of leave abuse, nor should one be considered punitive. Instead, managers should consider the leave restriction letter a tool to address unwelcome and unpredictable leave patterns.
- The vast majority of day to day human resource problems experienced by supervisors relate to attendance issues or concerns.
- Leave time has a direct relationship to productivity levels and employee morale.
- The family members provided for under FMLA are more limited than those that are covered under sick leave.

Leave Overview

One of the challenges with leave programs, authorized absences and unauthorized absences, is knowing which one fits the situation. This is a subject area where asking questions and frequently reviewing the regulations is in the best interest of both the Army and the individual. It is important, as a supervisor, to know what these categories are and most importantly where to get information and references.

The statutory and regulatory authorities for leave administration are in Title 5, United States Code (USC) Chapter 63, Title 5, Code of Federal Regulations (CFR) Part 630, and the Family and Medical Leave Act.

It is important for you to know your organization leave program policies and POCs in your organization, the Civilian Personnel Advisory Center (CPAC), and your Management Employee Relations Specialist (MERS) for questions on leave concerns and issues.

Types of Leave

Annual leave: Annual leave is a period of approved absence from work with pay. Annual leave may be used for vacations, rest and relaxation, and for attending to personal business or emergencies. It is provided by law and accrues automatically to permanent employees and temporary employees who are serving under appointments that exceed 90 days.

Sick Leave: Sick leave is a qualified right of the employee and may be used for the following reasons:

- The employee, or one of his or her family members, has a medical, dental or optical examination.

- The employee cannot work because of a physical or mental illness, injury, pregnancy, or childbirth.
- The employee provides care for one of his or her family members who requires it because of physical or mental illness, injury, pregnancy, or childbirth.
- The employee arranges for or attends a family member's funeral.
- The employee's presence would expose others to a communicable disease.

Excused Absence (Administrative Leave): An excused absence is an administratively authorized absence from duty without loss of pay and without charge to other paid leave. The time spent on excused absence is considered part of an employee's basic workweek.

Absence without Leave (AWOL): AWOL is an absence that has not been authorized or for which a request for leave has been denied. It does not necessarily mean that the employee had insufficient reason for requesting leave, but rather the employee's presence is required at work.

Leave without Pay (LWOP): LWOP is temporary, non-pay status and absence from duty that, in most cases, is granted at the employee's request. In most instances, granting LWOP is a matter of supervisory discretion and may be limited by agency internal policy.

Voluntary Leave Transfer Program (VLTP): VLTP allows an employee who has a medical emergency to receive transferred annual leave directly from other employees in order to avoid being placed in a leave without pay situation.

Jury Duty or Court Leave: This type of leave is a leave of absence from duty without loss of pay or charge to annual leave to perform jury duty in a Federal, state, or municipal court or to serve as a witness in a judicial proceeding to which the United States, the District of Columbia, or state or local government is a party.

Military Leave: Military leave is an approved absence from official duty, for a civilian employee who is a member of a Reserve Component of the Armed Forces or National Guard. Military leave is authorized for days the employee is ordered to active duty or inactive duty training.

Home Leave: Special leave for employees recruited for overseas duty from the United States and who may accumulate 45 days of annual leave under section 6304(b) of title 5, United States Code, are entitled to earn, and may be granted home leave. Home leave may be used only in the U.S., the Commonwealth of Puerto Rico, or the territories and possessions of the U.S.

Types of Sick Leave

All full-time federal employees accrue sick leave at the rate of 13 days per calendar year with no limit on the total accumulation. Sick leave may be used once it is credited.

Sick Leave Accrual Rates	
Description	Time
Full-time employees	½ day (4 hours) for each biweekly pay period
Part-time employees	1 hour for each 20 hours in pay status
Uncommon tours of duty	$\frac{(4 \text{ hours}) \times (\text{average \# of hours per biweekly pay period})}{80} = \text{biweekly accrual rate}$

The three most common types of sick leave are:

- Personal sick leave
- Sick leave for family care or bereavement
- Sick leave for family care for a family member with a serious health condition.

A more uncommon type of sick leave is for an adoption of a child. This would fall under a fourth category: Advanced Sick Leave.

Sick leave is a qualified right of the employee and is appropriate when:

- The employee or one of their family members has a medical, dental or optical examination.
- Employee cannot work because of a physical or mental illness, injury, pregnancy, or childbirth.
- Employee provides care for one of their family members who requires it because of physical or mental illness, injury, pregnancy, or childbirth.
- Employee arranges for or attends a family member's funeral.
- Employee's presence would expose others to a communicable disease.
- Employee adopts a child.

Included in the definition of “family members” are:

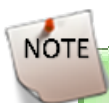
- Employee’s spouse and parents
- Children, including adopted children, and spouses, thereof
- Parents, and spouses, thereof
- Brothers and sisters, and spouses, thereof
- Any individual related by blood or affinity whose close association with the employee is the equivalent of a family relationship
- Any individual related by blood or affinity whose close association with the employee is the equivalent of a family relationship
- Grandparents and grandchildren, and spouses, thereof
- Domestic partner and parents thereof, including domestic partners of any individual

Personal Sick Leave

Personal sick leave may come under scrutiny due to some individual abuses of the trust that is embedded in the sick leave process. Employees self-certification of their absence under the sick leave provision is acceptable. Under normal circumstances a medical certification or other administrative evidence are not necessary until the individual exceeds three days. A supervisor may also request medical certification for lesser amounts of time based on policy or situations. When medical documentation is required it may include

- Content of Medical Documentation/Physician's Statement
- History of the medical condition
- Clinical findings from a recent evaluation
- Assessment of current clinical status and plans for future treatment
- Diagnosis
- Estimated date of full or partial recovery, with projected return to duty date

It is important for the supervisor to consider the health of the individual and their coworkers. Often in cold and flu season, individuals who do not go on sick leave or come back to soon from sick leave may contribute to an environment that may make others sick.



OPM Form 71 is a common form used among organizations for leave requests

Sick Leave for Family Care or Bereavement

Full-time employees may use a total of up to 104 hours (13 workdays) of sick leave each leave year to:

- Provide care for a family member who is incapacitated as a result of physical or mental illness, injury, pregnancy, or childbirth
- Provide care for a family member as a result of medical, dental, or optical examination or treatment
- Make arrangements necessitated by the death of a family member or attend the funeral of a family member.

Part-time employees are also covered, but the hours available under this provision are prorated.

Sick Leave to Care for a Family Member with a Serious Health Concern

Sick leave to care for a family member with a serious health condition may be confused with the Family and Medical Leave Act (FMLA), however, they are different. It is essential as a supervisor to understand the difference and be able to articulate the difference to your employees. The Family and Medical Leave Act (FMLA) will be addressed later in this section.

Serious illness is any illness, injury, impairment, or physical or mental condition that involves inpatient care in a hospital, hospice, or residential medical care facility; or continuing treatment by a health care provider.

It includes such conditions as cancer, heart attacks, strokes, severe injuries, Alzheimer's disease, pregnancy, and childbirth

Note: It does not include bonding with a newborn child or care for a healthy newborn child.

Advanced Sick Leave

Advanced sick leave is appropriate for the many of the same situations that regular accrued sick leave is used for, but for a longer period of time if needed.

- There are restrictions to advanced sick leave.
- Advanced sick leave request should be reviewed against organizational policies and regulatory requirements.
- Advanced sick leave is not 'free' leave it should be well thought if it is necessary.

Supervisors may approve up to 240 hours (30 workdays) of advanced sick leave in a leave year for any purpose for which the use of sick leave is authorized. Important considerations:

- Validate the requirement for sick leave
- Know your organizational policy for approving advanced sick leave
- Review the limitations and restriction to sick leave
- Know the requesting employee's type of appointment and service agreement
- Make all documents available at the time of request
- Review request with your leaders, HR or CPAC as appropriate

NOTE

Employees under leave restrictions are not eligible for advanced sick leave

Requesting and Approving Sick Leave

Regarding requests for sick leave:

- An employee must request sick leave within time limits established by their organization policies.
- Organizations may specify that employees request advance approval of sick leave for medical, dental, or optical examination or treatment.
- Supervisors should establish a telephonic or electronic notification process between themselves and their employees.

NOTE

Medical information provided by the employee must be maintained in a secure and confidential manner

The Family and Medical Leave Act (FMLA)

The Family and Medical Leave Act (FMLA) is a significant legislation. Family and Medical Leave Act evolved to alleviate the distress of dual working parents and single parents to deal with family member serious illness and care of a new born child.

The two key purposes of FMLA are:

- To balance the demands of the workplace with the needs of families, to promote the stability and economic security of families, and to promote national interests in preserving the family integrity
- To entitle employees to take reasonable leave for medical reasons, for the birth or adoption of a child, and for the care of a child, spouse, or parent who has a serious health condition

Serious Health Conditions

Serious health conditions are:

- Illnesses
- Injuries
- Impairments, or physical or mental conditions that involve inpatient care in a hospital, hospice or residential medical care facility
- Continuing treatment by a health care provider

This includes such conditions as cancer, heart attacks, strokes, severe injuries, Alzheimer's disease, pregnancy, and childbirth.

Family Member Definitions

The definition for a family member is much narrower under the rules of the Family and Medical Leave Act.

Family and Medical Leave Act Definition:

- Parent of employee, spouse, son and daughter
- Does not include in-laws (unless in loco parentis)
- Parents include in loco parentis, which includes an individual who has day to day responsibility for the care or financial support of a child, or who did when the employee was a child. A biological or legal relationship is not necessary for in loco parentis to be possible

Sick Leave to Care for a Family Member Definition:

- Parents of employee
- Spouse, and parents, thereof
- Children, including adopted children, and spouses, thereof
- Brothers and sisters, and spouses, thereof
- Grandparents and grandchildren, and spouses, thereof
- Domestic partner and parents, thereof
- Any individual related by blood or affinity

Annual Leave

Annual and sick leave are the most common types of leaves individuals and supervisors deal with on a regular basis.

Annual leave:

A period of approved absence from work with pay. Annual leave may be used for vacations, rest and relaxation, and for attending to personal business or emergencies.

It is provided by law and accrues automatically to permanent employees and temporary employees who are serving under appointments that exceed 90 days.

TABLE OF ANNUAL LEAVE ACCRUAL RATES

Employee Type	Less than 3 years of service	3 years but less than 15 years of service	15 or more years of service
Full-time employees	½ day (4 hrs) for each pay period	¾ day (6 hrs) for each pay period, except 1 ¼ day (10 hrs) in last pay period	1 day (8 hrs) for each pay period
Part-time employees	1 hour for each 20 hours in a pay status	1 hour for each 13 hours in a pay status	1 hour for each 10 hours in a pay status
Uncommon tours of duty	(4 hrs) times (average # of hours per biweekly pay period) divided by 80 = biweekly accrual rate	(6 hrs) times (average # of hours per biweekly pay period) divided by 80 = biweekly accrual rate	(8 hrs) times (average # of hours per biweekly pay period) divided by 80 = biweekly accrual rate
SES, Senior Level (SL), and Scientific or Professional (ST) positions, and employees in equivalent pay systems, as determined by OPM	8 hrs for each pay period, regardless of years of service		

* Temporary employees who are on appointments limited to 90 days or less become entitled to annual leave once they have been employed continuously for 90 days.

Use or Lose Annual Leave

There are annual leave ceilings. When accrued annual leave exceeds the maximum annual leave allowed by law, it is commonly referred to as “Use or Lose” leave. The amount of leave over the annual leave ceiling will be forfeited at the end of the year if the employee does not use it.

The maximum annual leave that may be carried over into the new leave year is as follows:

- Stationed within the United States - 30 days (240 hours)
- Stationed overseas and entitled to home leave - 45 days (360 hours)
- Senior Executive Service - 90 days (720 hours)

Excused Absence

As a supervisor it is important to have a good grasp and understanding of the Office of Personnel Management’s and your organizational leave policies. Employees also need to understand them as well. Excused absences can be very challenging because of the diversity of situations that occur. There are five types of excused absences to guide the decision making process. When unusual situations or circumstances occur, it is important to seek out your leaders and or HR representative before rendering a decision.

The five main types of excused absences are:

- Administrative Dismissal
- Job Related Activities

- Medical Donor Program
- Voting
- Military Funerals

Important Considerations:

- ✓ Know organizational policy on who has the authority to grant excused absences
- ✓ Managers should ensure that the granting of excused absences is not specifically prohibited by law
- ✓ Check your Collective Bargaining Agreement to see if there are provisions related to excused absences in the contract.

The absence should:

- ✓ Relate to the agency's mission
- ✓ Be officially sponsored or sanctioned by the head of the department or agency
- ✓ Enhance the employee's professional development
- ✓ Be in the agency's best interest

Leave Without Pay (LWOP)

Leave-without-pay (LWOP) is a temporary, non-paid status and an authorized absence from duty, issued when the employee has insufficient annual leave or sick leave, or compensatory time available to cover an approved absence. Only in certain situations does the employee have the option to NOT exhaust annual or sick leave before requesting LWOP. You should discuss with your leaders, HR and CPAC when LWOP is appropriate.

Major points to remember:

- Leave-without-pay (LWOP) is a temporary , non-paid status and an authorized absence from duty, issued when the employee has insufficient annual leave or sick leave, or compensatory time available to cover an approved absence
- An employee does not have to exhaust annual or sick leave before requesting LWOP.
- By law, the supervisor should grant LWOP to:
 - Disabled veterans (EO5396) for medical treatment for a service-connected disability
 - Members of the Reserves or National Guard for military training duties
 - Employees who are eligible for and invoke the Family Medical Leave Act, unless the employee opts to use accrued leave

Employee Responsibilities

Leave is an employee right but must be approved by the supervisor. It is not automatic. It must be coordinated with the supervisor. Coming to work on time is a rule of the work place. Employees must manage their leave and plan ahead when feasible. Employees are required to be at their place of duty during duty hours. Employees are responsible to coordinate time away from their duty area with their supervisor.

Employees should:

- Understand and follow leave procedures
- Formally request leave in accordance with organizational policy
- Understand leave requested is not necessarily leave approved
- Report to work on time
- Plan and coordinate leave in advance
- Don't depart during duty hours without permission

Supervisor Responsibilities

Communicate leave policies	<ul style="list-style-type: none">• Effective management and control of leave can be accomplished through clearly informing employees of specific organizational policies and OPM guidelines regarding request for leave.
Encourage leave planning	<ul style="list-style-type: none">• Know when you should and shouldn't approve leave• Be fair and consistent• Discuss leave planning with your employees• Know your resources for additional information on unusual or new situations
Control and document abuse	<ul style="list-style-type: none">• don't wait to address leave issues. Act on leave
Monitor leave time	<ul style="list-style-type: none">• Know where you can get leave balances information (Consult your HR authority)• Circulate leave calendar• Deny leave only for mission related reasons• Document, document, document!!
Take corrective action	<ul style="list-style-type: none">• Take corrective action when leave policies are abused or when necessary. It is the supervisor's job to control leave abuse. Talk to your leaders and HR resources if you suspect abuse. Document! Document! Document!

Effective management and control of leave can be accomplished through the supervisor's knowledge of their responsibilities to both their employees and the Government.

As leaders, it is essential to realize the importance of the "mission first, people always," motto.

Respect, common sense and regard for people's feelings need to be considered when establishing and implementing leave policies.



Properly requested annual leave can only be denied for mission reasons. The supervisor approves leave. This includes the acting supervisor.

Additional Leave Programs and Categories

The last five leave programs and categories are not as common as the first four discussed. They do occur though and in some cases, are quite complex. They include:

- **Jury Duty and Court Leave** – Leave of absence from duty without loss of pay or charge to annual leave to perform jury duty in a Federal, state, or municipal court, or to serve as a witness in a judicial proceeding to which the United States, the District of Columbia, or state or local government, is a party.
- **Military Leave** - Military leave is approved absence from official duty, for your employees who are members of the Reserve Component of the Armed Forces, or the National Guard.
- **Excused Absence for Returning Employees** – Five days of uncharged leave to returning Federal employees who were called to serve on active duty (CONUS or OCONUS) under Executive Order 13223.
- **Voluntary Leave Transfer Program** – A program that allows an employee who has a medical emergency to receive transferred annual leave directly from other employees in order to avoid being placed in a leave without pay situation.

Disciplinary Offenses

Events, situations, emergencies and accidents happen. The challenge as a supervisor is to identify what situations are legitimate and what constitutes abuse or a pattern of behavior. As a supervisor it is critical to deal with absent employees fairly and quickly.

The following are a few recommendations for limiting leave related offenses.

1. State your policies up front
2. Enforce the rules for the abusers and confront problems early, such as:
 - Chronic tardiness
 - Leave abuse
 - Excessive absenteeism
 - Absent without official leave (AWOL)
3. Take each situation on a case-by-case basis, but backed by law
4. Reward those who manage their leave accordingly

Leave Restriction Letter

If a pattern of behavior or abuse occurs, it may become necessary to issue a Leave Restriction Letter. It is critical when the pattern of behavior or abuse occurs that you have talked with your leadership, HR specialist and CPAC representative.

Specifics of Leave Restriction Letter:

- All sick leave requires medical certificate
- Spells out in detail leave requesting procedures
- Letter Includes:
- Reasons for...
 - Problems specified
 - Rules/expectations specified
 - Offer of assistance
 - Consequences/follow-up

- Check collective bargaining agreement

If the employee is in a bargaining unit, the collective bargaining agreement should be consulted for any provisions that impact the issuance of such a memorandum. It is not uncommon for a contract to contain a requirement that an employee receive counseling prior to being placed on a memorandum/letter of instruction.

Things to Remember

As a supervisor, it is important you understand that:

- You have the responsibility to both establish and enforce leave protocols
- Ensure your team members know the organization's and your expectations, standards, and procedures
- Have written policies, reviews of policies, team meetings and counseling
- When encountering uncertain or unusual circumstances, check with your leadership, Human Resource Specialist, and/or civilian Personnel Advisory Center (CPAC) representative.

Action Items - Leave



After viewing the information on Leave it is important that you familiarize yourself with your organizations Leave policies and ensure they are clearly communicated to your employees. Here is list of action items that will assist you in making sure you are prepared to implement leave policies.

- Identify your organizations Human Resources (HR) Representative or your local Civilian Personnel Advisory Center (CPAC Representative that can help you understand local policy and guidance.
 - HR Representative Name _____ Phone # _____
 - CPAC Representative Name _____ Phone # _____
- Review your organizations official policy for leave
- Make sure you have a plan for managing your employee's leave
- Schedule a sit-down with your employee's to ensure they have an understanding of your expectations regarding leave management

REFERENCES - Leave (If clicking on the links don't take you to the appropriate web page you may need to copy the URL and past it into your web browser)

5 USC Chapter 61-63
5 CFR Part 610 (Hours of Duty)
5 CFR Part 630 (Absence and Leave)
OPM references on Leave: https://www.opm.gov/policy-data-oversight/pay-leave/leave-administration/

Leave - Forms

OPM Form 71 (Request for Leave or Approved Absence) https://www.opm.gov/forms/pdf_fill/opm71.pdf

NOTES:

B: Workers' Compensation

Key Considerations of Worker's Compensation

- Every day the Department of Defense spends over 1.5 million dollars on workers' compensation...80% of this amount goes to "old cases" where the injured employee was never brought back to work.
- If an employee is injured on the job and refuses medical treatment it is important that the supervisor document this and the facts of the situation in a memo for the supervisor's file.
- If an injured employee has medical restrictions, but can still perform some duties, the agency can assign the employee to a limited duty position.
- When an employee makes contradictory claims regarding whether he is fit to perform the duties of his job, your agency may order a job-related fitness-for-duty exam without violating the Rehabilitation act.

As a supervisor you are your organization's frontline defense in preventing employee injuries in the workplace. You do this by:

- Keeping a safe working environment; assuring good premises housekeeping
- Ensure a safety-conscience workforce
- Hold regular safety meetings to discuss potential hazards; encourage constructive employee input of our safety concerns
- Following up when such concerns are raised
- Ensure Personal Protective Equipment (PPE) is used when warranted, and used correctly
- Having ALL defective equipment and furnishings labeled, removed from service, repaired, or replaced
- Following your command safety policies and Safety Prevention Tips
- Setting the Example

If one of your employees does become injured, then Worker's Compensation rules apply. FAILURE to follow the proper procedures and reporting requirements can result in potential legal, financial, and personnel issues for the organization and employee.

Overview of the Federal Employees Compensation Act

What is the FECA?	The FECA provides compensation benefits to federal employees who are disabled due to injury or illness sustained while in the performance of duty. The FECA also provides for payment of benefits to dependents if a work related injury or illness causes the employees death. Benefits under FECA constitute the sole remedy available to Federal employees against the U.S. government for work-related injury, illness, or death. A federal employee or surviving dependent is not entitled to sue the United States or recover damages for such injury, illness, or death under any law.
Who administers the FECA?	The Department of Labor (DOL), Office of Worker’s Compensation Programs (OWCP), is responsible for reviewing claims files by federal employees. All entitlement decisions are made by the DOL.
What forms are required?	Many forms are used in connection with the FECA program. The injured employee will complete some forms, while the employee’s supervisor and physician will complete others.

Supervisor Responsibilities

As a supervisor you should:

- Establish a safe work environment
- Ensure a safety-conscience workforce
- Get to know your CPAC Injury Compensation Program Administrator (ICPA)
- File claims immediately
- Provide prompt medical attention and caring support to the injured/ill worker
- Investigate the injury – what happened, are other at risk?
- Document the events, actions, conditions, witness accounts
- Work with HR to properly account for absence from work and Continuation of Pay (COP) if elected
- Restore the worker to productivity as soon as possible
- Maintain a watchful eye for fraudulent claims

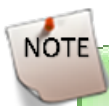


A misperception exists that if the employee states that he or she is not injured, then there is no need to file the required form.

Considerations

When a workplace injury does occur, some supervisors think they have no recourse as far as a Worker’s Compensation claim is concerned, but the opposite is true. The supervisor is the first-line management that is the most intimate with the details necessary to validate a work related claim. You are the agency’s eyes and ears--literally. Initiate the Workers’ Compensation claim immediately by completing the appropriate forms, and keep the following important points in mind:

- **Compassion** - When a worker is injured, he/she must receive compassion, support, and medical attention. Compassion is vital, because we may not know what transpired or how injured or ill the worker may be.
- **Reassess safety conditions** - Immediately contact your supervisor and Injury Compensation Program Administrator (ICPA) to report the injury. As circumstances unfold, safety considerations must be assessed. Is there potential for other workers to become injured or become ill? Have there been any other similar instances or reports?
- **Document** - Properly document employee absences by coordinating with HR to ensure the proper timekeeping codes are used as well as requirements for Continuation of Pay (COP) if applicable.
- **Bring the injured worker back as soon as possible** - Injured workers should be brought back to work as soon as medically possible. Accommodations can be made – light duty, part-time, other work-related accommodations. The longer an employee remains at home, the more difficult it becomes to precipitate the return.



80% of workman's comp costs are attributed to "old cases" where the injured employee was never brought back to work.

Traumatic VS Occupational Injuries

Before entering a claim into the Electronic Data Interchange (EDI), you need to figure out the type of injury or illness the employee is claiming. The nature of the injury/illness determines what form needs to be submitted.

- Traumatic Injuries are submitted on a CA-1. Traumatic injuries occur within one work shift.
- Occupational injuries/illnesses are submitted on a CA-2. These injuries/illnesses develop over the course of more than one work shift/day. Common examples of occupational injuries/illnesses are hearing loss, carpal tunnel, and lateral epicondylitis (tennis elbow).

FECA Electronic Data Interchange (EDI)

EDI stands for Electronic Data Interchange. Agencies are required to file traumatic injury and occupational disease claims through EDI. The purpose of this system is to improve the timely filing of claims, to decrease the amount of time it takes to process the claim and issue a claim number. With EDI, CA-1 and CA-2 forms are submitted through Injury Compensation Program Administrator (ICPA) to the Department of Labor instantaneously, eliminating paper processing and mail delays. Supervisors are expected to submit claims for their employees through the electronic system. The following frame provides a brief overview of how the system works.

Things to know about EDI:

- The purpose of the EDI project is to expedite processing of FECA claims for injured workers.
- The goal is to have all CA-1's and CA-2's submitted within 10 days from the date of injury, and CA-7's submitted within 5 days of the employees' signature date.
- Employees will be assigned a claim number within 48 hours of the time the claim is received by The Department of Labor.
- Faster claims processing leads to expedited medical authorizations, treatment, bill payment.

NOTE: EDI is not new, it's over 10 years old now and its use is mandated by CPMS.

EDI Information Flow:

- When an employee is injured, he or she should contact their immediate supervisor. The supervisor and injured employee should jointly complete an electronic claim form by visiting: <https://dodhrinfo.cpmc.osd.mil/Directorates/HROPS/Benefits-and-Worklife/Injury-and-Unemployment-Compensation/Pages/Home1.aspx> (CAC required) and select "File Claims Online (Supervisor's Link)".
 - If injured on the job, the supervisor must file a Department of Labor Office of Workers' Compensation (DOL OWCP) Form CA-1, "Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation."
 - If disease/illness was caused or aggravated by the employment, you must file Form CA-2, "Notice of Occupational Disease and Claim for Compensation."
- Once the claim is filed, your activity's designated Injury Compensation Program Administrator (ICPA) will ensure the correct paperwork has been submitted and claim adjudicated by the DOL Office of Workers' Compensation.
- The ICPA will also work with the supervisor to identify any light/modified duty assignments available to expedite the employee's return to work. The ICPA designated to handle a claim may vary by employing activity, geographic location, and/or pursuant to your command's policy. If the supervisor does not know who to contact, the nearest Civilian Personnel Advisory Center (CPAC) may be able to advise who to contact.

TRAUMATIC INJURY CLAIM KEY POINTS:

When a traumatic injury occurs, employees are responsible for notifying the supervisor as soon as possible. Examples of traumatic injuries include: lifting, falling, motor vehicle accidents, and other one-time events. Depending on the severity of injury, the employee can be sent to medical care or emergency medical services should be contacted. If the employee so chooses, he may go to his personal medical provider rather than the agency physician. If a personal physician is elected, a CA-16, (Authorization for Medical Treatment) shall be issued. For more detailed information and steps for completing Form CA-1, see Section 2-2, Traumatic Injury, Injury Compensation for Federal Employees, Publication CA-810 available at DOL website, Injury and Unemployment Compensation Division, <http://www.dol.gov/owcp/dfec/regs/compliance/DFECfolio/CA-810.pdf>

As a supervisor, when a traumatic injury claim is filed, you should:

- Review front of CA-1 for completeness and assist employee in completing any deficiencies found.
- Advise employee of the right to elect Continuation of Pay (COP).
- Complete and sign back of the CA-1 and submit to OWCP (via ICPA) as soon as possible.
- Authorize medical care if needed by completing a Medical Treatment Form CA-16.
- Complete CA-16 within four hours of request whenever possible.
- If doubt as to whether employee's condition is related to employment, note this on the form.

- May refuse to issue a CA-16 if more than a week has passed since the injury since the need for immediate treatment would have become apparent in that period.
- Immediately notify the safety Officer of the accident or incident.
- Advise employee of her/his responsibility to submit prima facie medical evidence of disability within ten calendar days or risk termination of Continuation of Pay.
- If no time is lost from work other than on the day of injury and no medical bills are incurred, the CA-1 should be submitted to the ICPA.

NOTES REGARDING MEDICAL DOCUMENTATION:

A CA-20 presents series of questions for the attending physician to answer regarding the employee's medical condition. It provides supporting medical documentation for the injured worker's claim and should be filled out upon completion of medical examination or treatment.

A CA-17 (Duty Status Report) provides information to the agency and OWCP regarding the employee's physical capability for returning to work. The left side of the CA-17 will be filled out by the supervisor indicating the physical demands of the injured worker's regular position. The form should be given to the employee to be filled out by the physician at reasonable intervals, normally every two weeks.

Supporting medical documentation:

- Must be submitted through the ICPA to OWCP within 10 working days of the submission of the CA-1.
- Failure to provide medical evidence in the specified timeframe is grounds for termination of Continuation of Pay.
- Initial medical documentation can be provided on a CA-16, a CA-20 (Physician's Report) or through comprehensive medical notes.

If you notice a "red flag"...

- Talk to your ICPA; relay your concerns
- Write down all information you have and give to ICPA
- Army has only ONE opportunity to challenge a suspicious claim, and that is before the claim is adjudicated

Let's briefly recap what you need to do in managing workers' compensation claims:

1. Encourage safe work habits and conditions and enforce safety regulations; Prevent injuries.
2. Handle injuries correctly if they occur.
3. Investigate all facts of injuries and challenge all suspect claims.
4. Complete and submit forms to ICPA in a timely manner:
 - CA-1 and CA-2 as soon as possible.
 - CA-7 within five workdays of receipt, in concert with ICPA
5. Input claim into EDI or give CA-1/CA-2 to ICPA if you have no computer access.
6. ICPA is your partner in all aspects of Workers' Compensation.
7. Keep in contact with the employee.
8. Keep watchful for signs of Workman's Compensation Fraud.

9. Preserve employee’s right to confidentiality and privacy of medical records and employee information.
10. Getting injured employees back to Army’s workforce is a win-win for everyone.

Action Items - Worker’s Compensation:



After viewing the information about worker’s compensation it is important that you familiarize yourself with your organization’s policies and processes and identify areas for improvement. Here is a list of action items that will assist you in making sure you are prepared to implement a quality onboarding process.

- Identify your organization’s Human Resources (HR) Representative or your local Injury Compensation Program Administrator (ICPA), located in the Civilian Personnel Advisory Center (CPAC) office that can help you understand local policy and guidance.
 - HR Representative Name _____ Phone # _____
 - ICPA Representative Name _____ Phone # _____
- Get feedback from those newest to your organization about the onboarding process. You might ask them to provide their feedback on the overall process or ask them pointed questions about specific steps in the process.
- Review the items in the “Supervisor Toolkit” found at <http://www.tradoc.army.mil/dcspil/Acculturation>

REFERENCES - Worker’s Compensation *(If clicking on the links don’t take you to the appropriate web page you may need to copy the URL and past it into your web browser)*

DoD Instruction 1400.25-V810: Injury Compensation http://www.esd.whs.mil/Portals/54/Documents/DD/issuances/140025/1400.25-V810.pdf
Injury Compensation for Federal Employees, Publication CA 810 available at DoD website, Injury and Unemployment Compensation Division: http://www.dol.gov/owcp/dfec/regs/compliance/DFECfolio/CA-810.pdf
Dept. of Labor Workers’ Compensation Information: http://www.dol.gov/dol/topic/workcomp/
DOL Division of Federal Employees’ Compensation (DFEC): https://www.dol.gov/owcp/dfec/
DOL Employees’ Compensation Operations & Management Portal (ECOMP): https://www.ecomp.dol.gov/
Implementing Guidance for Workers’ Compensation under Federal Employees’ Compensation Act (FECA): https://safety.army.mil/ON-DUTY/Workplace/WorkersCompensation.aspx
Federal Labor Relations: U.S. Code, 5 USC 7101
Federal Labor Relations Authority Website: http://www.flra.gov/

NOTES:

C: Labor Relations

Key Considerations of Labor Relations

- There are four key elements to Labor Relations which are useful to you as a supervisor: Legal Framework, Collective Bargaining, Key Players, and Complaints.
- Bargaining agreements take precedence over conflicting agency regulations, but not over government wide regulations and statutes.
- Supervisors must examine their own roles and that of other key players involved in labor relations and their rights and responsibilities.
- You should know who to contact for help with collective bargaining issues.

As a supervisor working for the Department of the Army, you may encounter a lot of uncertainties when dealing with employees. This lesson is not designed to provide you with every aspect of labor relations. It is designed to provide you with basic labor relations knowledge which will allow you to adhere to the law as you carry out your mission.

There are four key elements to Labor Relations which are useful to you as a supervisor: Legal Framework, Collective Bargaining, Key Players, and Complaints.



Legal Framework

Management relations laws and regulations significantly affect the degree to which unions, management, and employees achieve their goals. If a supervisor fails to adhere to the Federal Service labor-Management Relations Statute, commonly referred to as the Statute, he or she may find they are the subject of an Unfair Labor Practice (ULP) charge or they may be the subject of a Grievance. To avoid third party litigation, you should familiarize yourself with:

- Federal Service Labor-Management Relations Statute, 5 USC 71 (<http://www.flra.gov/statute>). The Federal Labor Management Relations Statute prescribes the rights and obligations for federal government employees. This statute also establishes procedures designed to meet requirements and needs of the Government.
- Federal Labor Relations Authority (FLRA). The FLRA is an independent agency of the United States government that governs labor relations between the federal government and its employees. The FLRA is charged with establishing policies and guidance relation to federal sector labor-management relations and with resolving disputes between federal agencies, federal unions and the employees they represent. In carrying out its functions, the FLRA interprets and implements the Federal Service Labor-Management Relations Statute.
- Your agency’s Collective Bargaining Agreement.

Why is this so important? Congress felt that labor organizations and collective bargaining in the civil service are in the public’s interest. It protects employee rights, safeguards public interest, contributes to effective conduct of public business, facilitates and improves performance and improves the efficiency of government operations.

Not only are there laws governing labor management, but the Department of Defense (DoD) has also developed policies centered on it. DoD has endorsed the statute and provided further guidance on their expectations of the labor management relationship. The DoD Civilian Personnel Manual states that the Department of Defense will establish labor management relationships that focus on supporting and enhancing the national security mission and creating and maintaining a high performance workplace, which delivers the highest quality products and services to the American public at the lowest possible cost. DoD is committed to pursuing solutions that promote increased quality and productivity, customer service, mission accomplishment, efficiency, quality of work life, employee empowerment, organizational performance, and military readiness.



“Establish labor management relationships that enhance national security mission and maintain high performance workplace.”
DoD Civilian Personnel Manual 1400.25M, Subchapter 711

Collective Bargaining

A collective bargaining unit is formed as a result of labor unions and employers negotiating terms of employment. After the union and agency officials have negotiated terms, the outcome is then drafted into what is known as a collective bargaining agreement (CBA). CBAs are legally binding contracts that both sides must adhere to.

NOTE To obtain a copy of your agency’s collective bargaining agreement for your own records, consult your local Labor or Management Employee Relations

Two of the most common negotiated subjects are changes to conditions of employment and past practices.

“Conditions of employment” is a term used to refer to the physical, environmental and operational features affecting employees' daily work lives. As a supervisor you need to be aware that any workplace changes you plan to initiate that significantly impacts your organization must be negotiated with the union before it can be implemented.

A past practice is nothing more than the way things have been done. A past practice does not have to be written down in a collective bargaining agreement, but can arise on the basis of regular, repeated action, or inaction by management. Existing practices sanctioned by use and acceptance, which amount to terms and conditions of employment, even though not specifically included in the collective bargaining agreement. Normally, management cannot discontinue an established and accepted past practice unilaterally if it is not contrary to law. Rather, it must give notice to the union of its intent to do so. If the union requests to address the change then management is mandated to meet with the union to discuss the change.

The following four factors will indicate that a past practice exist:

- The practice was clear and applied consistently.
- The practice was not a special, one-time benefit or meant at the time as an exception to a general rule.
- Both the union and management knew the practice existed and management agreed with the practice or, at least, allowed it to occur.
- The practice existed for a substantial period of time and occurred repeatedly.

An example of a past practice would be: An organization that's been in existence for over 15 years allows the employee's family members to call in sick on their behalf. As a new supervisor, not knowing the past practice, you decide that you want to now make employees call you personally.

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EXAMPLE

Key Players

Your local HR office, union, employees and management officials all work together with you to ensure that working conditions are conducive to the needs of both the agency and those employed by the agency.

Employee Rights and Responsibilities

- Act as representatives for a labor organization
- Present views of the union to heads of agencies and other executive branches of government officials, congress, or other authorities
- Engage in collective bargaining with respect to conditions of employment through selected union representatives.

Employees have the right to form, join or participate in a labor organization and any of its activities? As a supervisor, it's unlawful for you or agency officials to threaten, coerce, punish or penalize employees for wanting to participate. Employees may also bargain collectively through the union on matters of employment. Employees have the option of running for office and holding positions within the union.

Employees, who are also designated as union officials, may perform duties mentioned, but are prohibited from conducting internal union business such as balancing the union's financial books, soliciting union membership or working on an internal union newsletter, during duty hours.

While most civilian personnel are covered under a collective bargaining agreement, there are a number of employees that are not covered. The Federal Service Labor-Management Relations Statute excludes a number of positions from joining or being represented by a union. Supervisors and management officials are ineligible, as are the following:

- Confidential employees
 - Secretaries handling labor-management negotiations information
 - Support staff with access to grievances before they are presented to the union
 - Attorneys, paralegals, or specialists who are privy to LR policies
- National security employees
 - Personnel security specialists who grant access authorizations or clearances through interviewing, examination, and evaluation
 - Classified material systems custodian
 - Security specialists that designs and audits security systems
- Internal auditor employees
 - Auditors and investigators whose functions could uncover employee fraud, misuse of funds, or malfeasance
 - Any individual who audits and/or investigates particular types of employees

Union Rights and Responsibilities

The union's primary goal is to represent the needs of employees. Unions are responsible for exclusively representing and negotiating in good faith for all collective bargaining employees regardless if they are due paying members. They also negotiate collective bargaining agreements and working conditions with agency officials.

Just as employees have rights, labor unions have rights and responsibilities too. Labor Unions have the statutory right to:

- Attend formal meetings
- Act on behalf of bargaining unit employees in the following ways:
 - Represent
 - Negotiate
 - Inform
 - Request information

Management Rights and Responsibilities

Management rights is a term used to define certain areas in which agency officials have exclusive decision-making authority and can take actions that are not subject to the collective bargaining process.

Decisions to act in these areas are management's prerogative and the union cannot negotiate on any of these rights. However, procedures for the exercise of these rights and arrangements that affect employees (i.e. the impacts on the workforce) may be subject to negotiation.

Management rights are broken up into two categories: mandatory and permissive.

- Mandatory Rights (5 U.S.C. § 7106(a))
 - Determine the Agency's mission, budget, organization, number of employees, and internal security practices.
 - Hire, assign, direct, lay off, and retain employees.
 - Suspend, remove, reduce in grade or pay, or discipline employees.
 - Assign work, make determinations with respect to contracting out, and determine the personnel by which operations will be conducted.
 - Select and appoint employees from appropriate sources.
 - Take whatever actions may be necessary to carry out the Agency mission during emergencies.
- Permissive Rights (5 U.S.C. § 7106(b)(1))
 - Numbers, types, and grades of employees or positions assigned to any organizational subdivision, work project, or tour of duty.
 - The technology, methods, and means of performing work.

Once permissive rights are implemented under a collective bargaining agreement, those rights must be adhered to throughout the life of the agreement.

Supervisor Rights and Responsibilities

A supervisor's role is KEY to ensuring good labor management relations. As the first line supervisor, you will be the one working daily within the confines of the statute. That's why it's so imperative that you understand the statute and what your Collective Bargaining Agreement (CBA) spells out.

There will be times when you are faced with conflicts in your allegiance to your subordinates and that of your superiors and the organization as a whole. Despite the conflicts of interest, it's a supervisor's continued responsibility to fulfill supervisory duties while maintaining allegiance to those above you. While most supervisors are not directly involved with negotiating labor relations contracts, knowing your role enhances your ability to effectively manage your team:

- Act as an information channel
- Notify upper management
- Establish good relationships
- Maintain allegiance
- Maintain cohesive working environment

Human Resources/LMER Responsibilities

As a supervisor, you should make it your common practice to utilize your local LMER specialist as a Subject Matter Expert. You're not expected to become a LMER subject matter expert, that's what your local HR and LMER office is for, however, you should have a general understanding of the rules.

HR's role is to:

- Assist managers with interpretation of collective bargaining agreements
- Conduct term and mid-term negotiations
- Act as point of contact for formal workplace complaints. They will gather all information and prepare response to the complaints
- Send official notices to the union if management requests to change a condition of employment
- HR also conducts Labor Relations training

Key Player Communication

Union representation is required, whenever a supervisor has a conversation with employees concerning formal discussions, informal discussions and investigative interviews.

Formal Discussions

Formal Discussions are by far the most common situations requiring union representative presence, as well as meetings between agency representatives and a bargaining unit employee to discuss grievances, personnel policy practices or general conditions of employment, not individual concerns.

Informal Discussions

While unions should be present during formal discussions, not all interactions between employer and employees are considered formal discussions. There are times when you will have to meet with your employee and not have a union rep present. These types of meetings are considered day-to-day discussions. During day-to-day discussions, you are likely to discuss:

- Work assignments
- Performance appraisals
- Counseling on conduct
- Progress reviews
- Performance counseling
- Investigatory Interviews



When it comes to formal discussions, it is **YOUR** responsibility to inform the union of the meeting well in advance, and provide them an opportunity to attend and participate. It's also important to note that any time an ***informal discussion turns into a formal discussion***, you should **STOP** the meeting as soon as possible and postpone it until a union representative can be present.

Weingarten rights gives the Union the authority to be present and assist bargaining unit employees during an investigative interview, but **ONLY** if the employee requests union representation. Management is under no obligation to inform the employee of this right.

If at any time, while conducting an informal meeting, an employee becomes uneasy with the direction the conversation is heading and if they feel it may turn into some possible disciplinary action, the employee may invoke their Weingarten Right and request a union representative be present.

If this occurs, you have three options:

- Stop the interview and continue the interview with the union present
- Terminate the interview and proceed to take appropriate actions based on information gathered to this point
- Continue the investigation by questioning other employees
- Complaints

Complaints

There will be times an employee becomes dissatisfied with working conditions, working relationships or status of employment. There will be times that trying to talk things through with you will not be enough for an employee and he or she may wish to seek resolution for their dissatisfaction by filing formal complaints. There are several categories of complaints, to include charges of formal grievances or unfair labor practices.

Grievances

A grievance is simply a formal complaint that an employee, labor organization or agency files.

Often filed as a result of conditions of employment or the collective bargaining agreement being violated, but may also allege a violation of law, rule or regulation.

Some common grievances are:

- Discrimination/Poor treatment (lack of respect, dignity, common courtesy)
- Annual Appraisals/Evaluations
- Denial of annual leave or sick leave
- Termination/suspension of compressed work schedule
- Failure to provide advanced written notification to the Union of a change in working conditions
- Promotions
- Proposal to take performance-based action (e.g., demotion)
- Any violation of the collective bargaining agreement

Unfair Labor Practices

An unfair labor practice is any alleged violation of rights under the Title 5 of the US Code Chapter 71 of the Federal Service Labor-Management Relations Statute. If an employee, union organization or agency feels as if their rights have been violated, they have the option to file an unfair labor practice charge. 95% of unfair labor practice charges are filed by the union.



Consult the Federal Service Labor Management Relations Statute for the full list of unfair labor practices for managers:
http://www.flra.gov/statute_7116

Management	Union
Interfere with employee rights	Interfere with employee rights
Encourage/discourage union membership	Reprise against union members to impede performance or productivity
Sponsor, control or assist a union	Cause an agency to discriminate against an employee
Discriminate against employees for participating in union activities	Discriminate against employee because of race, sex, religion, etc.
Failure to negotiate in good faith	Failure to negotiate in good faith
Failure to comply with any provisions of the LMR Statute	Failure to comply with any provisions of the LMR Statute

Ways to Avoid an Unfair Labor Practice or Grievance

To maintain an environment that's respectful, considerate and professional, here are a few key points to remember:

- ✓ DO treat all employees fairly and with dignity and respect
- ✓ DO know requirements of the Statute and CBA
- ✗ DON'T engage in formal discussions without notifying the Union
- ✗ DON'T change past practices without notifying the Union

Action Items – Labor Relations



After viewing the information on labor relations it is important that you familiarize yourself with your organizations labor and management employee relations and identify areas for improvement. Here is a list of action items that will assist you in making sure you are prepared to implement a quality labor relations program.

- Identify your organizations Labor Management Employee Relations (LMER) Representative or your local Civilian Personnel Advisory Center (CPAC) Representative who can help you understand local policy and guidance.
 - LMER Representative Name _____ Phone # _____
 - CPAC Representative Name _____ Phone # _____
- Get a copy and become familiar with your agency's collective bargaining agreement.
- Become familiar with the progressive discipline process defined in the collective bargaining agreement.
- Develop a rapport with the local union representative.
- Identify any working condition changes you anticipate making in your workplace that may require union notification.

FAQ's Labor and Employee Relations

1. **Who is covered under the Federal Employees' Compensation Act (FECA)?**

All civilians of the United States, except those paid from non-appropriated funds, are covered. Special legislation provides coverage to Peace Corps and VISTA volunteers; federal petit or grand jurors; volunteer members of the Civil Air Patrol; Reserve Officer Training Corps cadets; Job Corps, Neighborhood Youth corps, and Youth Conservation Corps enrollees; and non-federal law enforcement officers under certain circumstances involving crimes against the United States.

2. **Are all injuries that occur on the job compensable under Federal Employees' Compensation Act (FECA)?**

No. The mere fact that a condition manifests itself or is worsened during a period of employment does not raise an inference of causal relationship between the two.

Such a relationship must be shown by rationalized medical evidence of causal relation based upon a specific and accurate history of employment incidents or conditions which are alleged to have caused or exacerbated a disability.

3. **Are teleworkers entitled to workers' compensation benefits?**

Generally speaking as long as teleworkers are performing work-related tasks within their telework space when the injury occurs, it will be covered by workers' compensation. If there are ever questions about whether a telework related injury is covered it is always recommended to consult with your HR representative.

4. **If a supervisor appears to have violated the union's collective bargaining agreement, what will likely happen?**

The union will most likely file a grievance alleging a bargaining agreement violation. The grievance process generally contains three steps of appeal to progressively higher levels of management. If, along the way, the grievance is found to have merit, management may grant the grievance and accept the union's requested remedy. If the grievance is not resolved at the final step, it may be taken to arbitration by the union, where the arbitrator, a neutral third party, will hear the grievance.

REFERENCES – Labor Relations (If clicking on the links don't take you to the appropriate web page you may need to copy the URL and past it into your web browser)

Federal Labor Relations: [U.S. Code, 5 USC 7101](#)

Federal Labor Relation Authority Website: <http://www.flra.gov/>

NOTES:


4: Supervising Diverse Workforce

The content in this section is designed to lay the foundation for supervisors to effectively manage a diverse workforce. Diversity is not something we can ignore. People are your organization's most important asset. As such, knowing how to maximize their talents is critical to your personal success and the success of your organization. It is very important to recognize the importance of managing diversity as a reality and as an organizational necessity while understanding the basic characteristics and skills required to effectively supervise a diverse workforce. It is one of the strengths of the United States of America and is imperative in order for the U.S. Army to remain competitive for America's best civilian talent.

Key Considerations of Supervising a Diverse Workforce

- The benefits of a truly flexible diverse and inclusive workforce include: Buy-in, A broader talent pool, Higher morale, Smart strategy, Value added.
- Executive Order 13583, August 18, 2011, requires OPM to publish a Government-Wide Diversity and Inclusion Strategic Plan, and guidance to agencies.
- Inclusion practices are positively correlated with employee satisfaction. In other words, the more we include all employees in activities in the workplace, the more satisfied the whole team is.
- Data shows that diversity is a key to problem solving.

As clearly illustrated by our Army Civilian Corps Creed we come together as one to support and defend the Constitution of the United States, to honor and uphold the Army Values in achieving a common mission. It is important as supervisors and leaders we set the example and honor our own and others' uniqueness through respect, new ideas, and positive actions. The net effect of this kind of leadership philosophy builds trust, team cohesion, and enhances our overall readiness to meet our goals and mission.



Army Civilian Corps Creed

I am an Army Civilian – A member of the Army Team
I am dedicated to our army, our Soldiers and Civilians
I will always support the mission
I provide stability and continuity during war and peace
I support and defend the Constitution of the United States and consider it an honor to serve our Nation and the Army
I live the Army values of Loyalty, Duty, Respect, Selfless Service, Honor, Integrity, and Personal Courage
I am an Army Civilian

A: Hostile Work Environment

Army leaders should consistently foster a climate in which everyone is treated with dignity and respect, regardless of race, gender, creed, or religious belief. Fostering a balanced and dignified work climate begins with a leader's personal example. How a leader lives the Army Values shows subordinates how they should behave. Teaching values is one of a leader's most important responsibilities. It helps create a common understanding of the Army Values and expected standards.

The DoD and US Federal Government places the highest priority on the health and safety of all its uniformed members, employees, contract personnel, family members, and visitors, and supports leaders in efforts to deal with incidents of workplace hostility and violence. All acts of hostility, violence, threats to another individual or to another individual's property, harassment (including sexual harassment), intimidation, and other disruptive or threatening behavior involving a direct or indirect threat of physical harm are prohibited and will be dealt with immediately by the appropriate leaders and officials. Leaders or supervisory personnel who receive a report of hostility, violent activity, or a threat of violence must take the report seriously and immediately assess the situation, determine the nature of the situation, and take appropriate action.

A hostile work environment stems from a form of harassment. It is demonstrated by severe or pervasive conduct that permeates the work environment and interferes with an employee's ability to perform his or her job. A hostile work environment refers to violations that occur between people; it is interpersonal. It is about the way people treat other people while they are working on the job. It is not about how particular groups of people are treated, but how individual employees treat other employees. A hostile work environment is a work environment made intolerable to a reasonable person by the frequency, severity or pervasiveness of objectionable words, actions or other materials of a sexual nature, or materials that direct hostility at people because of their ethnicity, race or age. In other words, employees who experience sexual or nonsexual harassment can claim the discrimination created a hostile work environment.

As a supervisor, you need to know what is going on in the workplace at all times and be aware if inappropriate behavior exists. The harassing workplace bully might be an employee, such as a supervisor or coworker, or even a non-employee, such as a client or independent contractor. Who the workplace bully is doesn't matter as much in the legal sense, as does the fact that he or she is creating an intimidating, offensive, abusive or hostile work environment through discriminatory workplace harassment. A hostile work environment is actionable in the EEO process when it is based on allegations of discrimination (e.g., race, color, sex, national origin, religion, age, disability or sexual orientation, or reprisal). The conduct must be viewed as objectionable not only from the standpoint of the victim but also from the perspective of a reasonable person in similar circumstances.

Workplace Harassment

Harassment is any unwelcome verbal or physical conduct based on race, color, sex (regardless of whether it is sexual in nature), sexual orientation, national origin, age, religion, disability, or retaliation that is so offensive as to alter the condition of the victim's employment. This standard is met when it has: The effect of creating an intimidating, hostile, or offensive working environment; or the conduct unreasonably interferes with an individual's work performance; or the conduct adversely affects an individual's employment opportunities.

<u>Types and examples of harassment</u>		
Verbally harassing conduct include:	Physically harassing conduct include:	Visually harassing conduct include:
<ul style="list-style-type: none"> ✓ Epithets, offensive jokes, stories ✓ Offensive terms of address ✓ Graphic or degrading comments about an individual's appearance or body ✓ Racial or intrusive questions about an individual's personal life ✓ Reward or punishments contingent upon submission to or participation in these behaviors 	<ul style="list-style-type: none"> ✓ Pranks, intimidating acts ✓ Hugging, groping, inappropriate touching ✓ Neck or shoulder massages ✓ Touching, rubbing, hugging, pinching, patting, or kissing ✓ Rape, sexual assault ✓ Rewards or punishments contingent upon submission to or participation in these behaviors 	<ul style="list-style-type: none"> ✓ Offensive cartoons, images ✓ Offensive gestures ✓ Display of racially offensive objects or pictures ✓ Display or transmission of racially-motivated electronic content ✓ Reward or punishments contingent upon submission to or participation in these behaviors.

Liability for Harassment by a Supervisor

An agency is automatically liable for harassment by a supervisor that results in a tangible employment action regardless of whether upper management had knowledge of it. When harassment by a supervisor does not result in a tangible employment action, the conduct is analyzed as to whether it was severe or pervasive enough to create a hostile environment.

If the conduct created a hostile environment, an agency is liable unless it can establish that: It exercised reasonable care to prevent and correct promptly any harassment (e.g., has an anti-harassment policy and complaint mechanism), and the employee failed to take advantage of any preventative or corrective opportunities provided by the agency.

Sexual Harassment and Sexual Assault

Sexual harassment and sexual assault are not tolerated within the US Federal Government or within any of the DoD services. Commanders and leaders at all levels of the Army have a responsibility to establish a command climate where safety is promoted, where Soldiers and Army civilian employees are educated on sexual assault risk reduction techniques, and where soldiers and Army civilians feel free to report incidents.

SHARP reinforces the Army's commitment to eradicating sexual harassment and sexual assault through a comprehensive policy of awareness and prevention; training and education; victim advocacy; and response, reporting, accountability and program assessment. The program promotes sensitive care and confidential reporting for victims of sexual assault

ALARACT 147/2013 -HQDA EXORD 161-13 Sexual Harassment/Assault Response and Prevention Program message clearly stated the following from the Secretary of the Army. "We will not tolerate sexual harassment and sexual assault. We must foster a climate of TRUST that respects and protects our Soldiers, Civilians, and Family Members. SHARP is a COMMANDER'S and SENIOR LEADER'S PROGRAM. We, the Army, are committed to ensuring engaged Leadership at all levels prevent sexual assault and harassment. We will hold offenders accountable." <http://www.army.mil/sharp>

and accountability for those who commit these crimes.

Senior leaders, with your subordinate leaders and supervisors, have to ensure a safe working environment for all organizational members. If a workforce feels threatened or perceives it has an unsafe work environment, all leaders within that organization are responsible. Any person in a supervisory or command position who condones any form of sexual behavior to control, influence, or affect the career, pay, or job of a military member or civilian employee is engaging in sexual harassment. Similarly, any military member or civilian employee who makes deliberate or repeated unwelcome verbal comments, gestures, or physical contact of a sexual nature in the workplace is also engaging in sexual harassment.

Actionable Legal Consequences

It is in violation of multitude of Federal, DoD, and Army policies and statues to create an intimidating, offensive, abusive or hostile work environment through workplace harassment.



NOTE: Quid pro quo harassment is a distinct form of sexual harassment in which submission to or rejection of unwelcome sexual conduct by an individual is used as the basis for employment decisions affecting such individuals. For example, a person in a position of power or authority may pressure an employee for sexual favors in exchange for advancement in the workplace or under the threat of adverse employment action. For Army civilian employees, a hostile work environment is actionable in the Equal Employment Opportunity (EEO) process, as well as in U.S. Federal Court.

Table of Federal, DoD, and Army directives concerning workplace hostility and violence

DIRECTIVE OR POLICY	CONTENT AND REFERENCE
<p>Civil Rights Acts of 1964 as amended, 42 of the U.S.C. § 2000e-2(a)</p>	<p>States “it shall be an unlawful employment practice for an employer to fail or refuse to hire or to discharge any individual, or otherwise to discriminate against any individual with respect to his compensation, terms conditions or privileges of employment, because of such individual's race, color, religion, gender, or national origin[.]”</p> <p>http://www.eeoc.gov/laws/statutes/titlevii.cfm</p>
<p>Notification and Federal Employee Antidiscrimination and Retaliation Act (No FEAR)</p>	<p>Holds all federal agencies, including DoD, responsible for infractions of antidiscrimination and whistleblower protection laws. Consult the Equal Employment Opportunity Commission (EEOC) http://www.eeoc.gov/</p>

<p>US Equal Employment Opportunity Commission NOTICE 915.002 Enforcement guidance on vicarious employer liability for unlawful harassment by Supervisors.</p>	<p>Policy is applicable to Federal civilian leaders, supervisors and employees. A leader and supervisor’s parent organization is always liable for harassment by a supervisor on a forbidden basis that culminates in a tangible employment action. The Supreme Court recognized that this result is appropriate because an employer acts through its leaders and supervisors. http://www.eeoc.gov/policy/docs/harassment.html</p>
<p>DoDI 6495.01 dtd 23JAN2012 and DoDI 6495.02 dtd 12FEB2014</p>	<p>Establish policy, implements policy and assigns responsibilities for the DoD Sexual Assault Prevention and Response (SAPR) Program. http://www.dtic.mil/whs/directives/corres/pdf/649502p.pdf</p>
<p>Sexual Response and Prevention (SHARP)</p>	<p>Instructs all Army activities to conduct the mandatory Sexual Harassment/Assault Response and Prevention (SHARP) training. Leaders and all US Army personnel must take conscious steps to understand, identify and reduce environmental risks, predatory and high-risk behaviors and personal vulnerabilities associated with sexual assaults or other abuse crimes. http://www.army.mil/sharp</p>

Action Items – Hostile Workplace



After viewing the information on a hostile workplace it is important that you familiarize yourself with your organizations procedures and processes in dealing with the workplace environment and identify areas for improvement. Here is list of action items to assist you in making sure you are prepared and continue to foster a balanced and dignified work climate.

- Identify your organization/agency’s Sexual Assault Response Coordinators (SARC); Victims’ Advocates (VA); Victim Representative (VR)
 - SARC _____ Phone # _____
 - VA _____ Phone # _____
 - VR _____ Phone # _____
- The Army uses a selective process for screening and nominating individuals to serve as SARCs, VAs and or VRs. SARC, VA and VR Specialists are serving in a collateral duty position and attend the SHARP 80-Hour Certification Course (conducted by command SHARP Trainers). The training prepares them to address cases of sexual harassment and sexual assault. SARCs, VAs and VRs must also meet a continuing education requirement for recertification. All SARCs/VAs /VRs will take the 24-hour online Distant Learning (dL) SHARP Re-Certification Course and re-submit their packets for credentialing as outlined by DoD.
- Review the items in the “Supervisor Toolkit” found at <http://www.tradoc.army.mil/dcspil/Acculturation/>

B: Managing Conflict

In today's environment some organizations are asked to do more with less. As a result, employees experience increased workloads and stress, which are two of the most common causes of negative conflict. With the potential for harmful conflict on the rise, it is important that supervisors become familiar with the skills required to implement conflict management strategies.



When you have finished this section you should be able to describe the basic concepts of conflict management and your role in managing conflict. As a supervisor you can take pro-active measures to avoid some of the common mistakes of conflict management.

Those who choose to ignore conflict management are setting themselves up to experience a number of negative consequences that may dramatically diminish bottom-line performance. On the other hand, supervisors who implement effective strategies for managing conflict will position themselves for tremendous gains in the years to come.

Simply put, conflict is a variation of wants, needs, and expectations. Differences of opinion can spark creativity, generate solutions, bond groups, provide clarity, and result in high-quality products. Conflict in the workplace is inevitable and left unmanaged can result in decreased productivity and a real cost loss. Conflict when managed effectively can conversely create positive energy resulting in new ideas and likely needed change. The determining factor of whether the result of conflict will be constructive or destructive is the ability of supervisors to manage it. Effective leaders will turn conflict into a positive force to achieve their organizations' goals. They transform conflict from a force that can be destructive and divisive into one that is healing and connecting.

Disagreements and differences that continually escalate into harmful conflict can have serious consequences for individuals and organizations as a whole, which creates another set of issues that supervisors must confront. The following are a few of the consequences created from ignoring conflict or not managing it well:

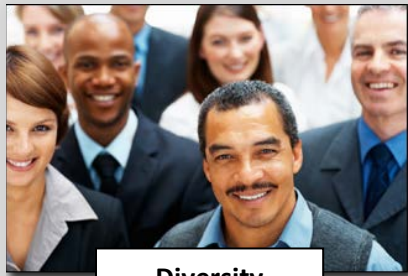
- ✓ Health concerns of employees
- ✓ Decreased productivity
- ✓ Employees leave organization
- ✓ Poor decision making
- ✓ Violence

CONFLICT

Conflict is normal	Conflict is a natural part of the work environment. People will not always agree on which road to follow, especially in group situations. Everyone brings something to the table based on their experiences, levels of education, and personal agendas.
Time spent managing conflict	Supervisors who take the time to manage conflict and show their subordinates productive ways to settle their conflicting ideas can create super teams that get the most done in the least amount of time, saving manpower and other valuable resources.
Not all conflict is bad	Conflict in and of itself is not bad. In fact, conflict in the workplace has the potential to stimulate creative thinking, respect, and communication. Supervisors who listen actively and allow people to express their feelings productively build trust and cooperation.
Sources of conflict	For positive outcomes to take place, supervisors must be able to understand and identify the sources of the conflict. While much of the conflict that takes place comes from having diversity within the organization, it can also come as a result of the actions or inactions of supervisors.
Managing conflict	Identifying the source of the conflict and taking action to manage it constructively towards expected and beneficial outcomes allow individuals to excel and organizations to succeed.

What Causes Conflict?

Managing conflict successfully begins with recognizing the causes and taking action. Supervisors can link conflict to differences in personalities, values, goals, and ideas. The following examples show how actions or inactions can lead to conflict.



Diversity

Today's workplace is more diverse than ever before, and employees support contrasting ideas based on age, race, experience, background, and gender. This diverse environment lends itself to conflict, which happens as a natural part of interactions. How you act or fail to act determines whether or not the conflict is positive or negative.

Miscommunication, dishonesty, unethical behavior, withholding information, and poor interpersonal skills may contribute to or cause negative conflict. Clear, consistent, and open communication, and efficient conflict management creates healthy relationships and successful work environments.



Poor Communication



Ineffective Organizational Systems and Policies

Poor follow-up, unequal application of policies, and inconsistent communication can contribute to workplace conflict. Lack of clearly communicated or constantly changing policies cause confusion and disharmony. Organizations need consistent controls, clear communication, and effective conflict management systems in place in order to run smoothly. Managers and supervisors with good management skills who are able to communicate and relate to their employees make the difference between harmonious operations or chaotic, conflict-filled work environments.

Conflict can result when workers with **different goals** and messages from managers and supervisors work together as teams, committees, or workgroups. Management agreement on clear and common goals is important for productivity and reduces negative conflict.



Incompatible Goals



Scarce Resources

Scarce resources or competition for limited resources cause anxiety and frustration, whether the resources are time, space, supplies, or information. Good policies and procedures for equitable distribution and use of resources, with proper controls, can lessen or eliminate conflict.

Once supervisors recognize the conflict cause, they must understand its level of intensity. Supervisors need to answer two questions.

- ✓ First, how interested is each party in resolving the conflict? The resolution process only works if participants are willing to address the conflict.
- ✓ Second, how firm or flexible is each party during the conflict resolution process? The more flexible each person is, the greater the likelihood of achieving a productive outcome with a mutually satisfying resolution. There are five basic conflict resolution strategies, each leading to a specific outcome.

There are five generally agreed upon strategies leaders use to resolve conflict:

Five strategies used in conflict	
Collaboration	<i>helps conflicting parties work together to find mutually advantageous solutions to problems so that each person is satisfied with the outcome.</i>
Compromise	<i>used when other methods have failed and conflicting parties are ready to clarify polarities and look for middle ground. This requires the parties to give up some of their needs to fulfill others.</i>
Competition	<i>one party tries to "win" the conflict by forcing a solution on the other party. In this case, one party gets what they want, while the other party does not.</i>
Accommodation	<i>one conflicting party is willing to sacrifice their desired outcome and give in to the other disputant. It is more important to them to maintain harmony and keep relationships intact.</i>
Avoidance	<i>focuses on avoiding the conflict altogether. Parties do nothing to resolve the conflict.</i>

Collaboration is the most desirable strategy because it requires conflicting parties to work together to find a mutually satisfying solution, and it tends to facilitate outcomes that benefit the organization.

Minimizing Conflict

While it is true that not all conflict is bad and conflict has the potential to benefit organizations, this does not mean supervisors should set themselves up to have to deal with it on a regular basis. In fact, they must can take a proactive approach to minimize unproductive conflict. The following are a few preemptive measures supervisors can take to create effective work environments by removing some conflict triggers.

Mistakes to Avoid

Conflict management may be a challenge, but avoiding these mistakes can help your efforts. Please do not:

- ✘ **Avoid or discourage all conflict** - Conflict encourages creativity and innovation in response to shared challenges.
- ✘ **Make consensus your goal** - When this happens, the result may be a conflict resolution that nobody really supports.
- ✘ **Take conflict personally** - Taking offense and retaliating against others only makes things worse... sometimes much worse.
- ✘ **Try to avoid or quickly settle all workplace disputes** - Unreasonable settlements hurt morale and productivity.

Don't leave your HR, LMER, CPAC, or Labor relations representative out of the loop. These representatives can help you with options and warn you of pitfalls that can cause additional problems or issues.

C: Reasonable Accommodations

NOTE: *The following cannot be considered an endorsement by the Army nor the guarantee of the accuracy, relevance, timeliness or completeness of the information. It is not intended to endorse any views expressed or products or services offered by the references provided or this publishing organization. The nature of persons with disabilities changes frequently and so do the policies associated with them. Please consult with HR, LMER, CPAC, Staff Judge Advocate legal team, or labor relations representatives for the most up to date and current policies and stipulations.*



As the Nation's largest employer, the Federal Government has a special responsibility to lead by example by including people with disabilities in the workforce. Federal agencies are required by law to provide reasonable accommodation to qualified employees with disabilities. The Federal Government may provide employees with a reasonable accommodation based on appropriate requests (unless so doing will result in undue hardship to the agencies). Reasonable accommodations can apply to the duties of the job and/or where and how job tasks are performed. The accommodation should make it easier for the employee to successfully perform the duties of the position. Examples of reasonable accommodations include providing interpreters, readers, or other personal assistance; modifying job duties; restructuring work sites; providing flexible work schedules or work sites (i.e. telework) and providing accessible technology or other workplace adaptive equipment. Telework (external link) provides employees additional flexibility by allowing them to work at a geographically convenient alternative worksite, such as home or a tele-center, on an average of at least one day per week.

In order to meet special accommodation obligations, our agencies and organizations should think creatively about ways to make the workplace more accessible and create an environment where employees who have disabilities can thrive.

REFERENCES – Supervising a Diverse Workforce (If clicking on the links don't take you to the appropriate web page you may need to copy the URL and past it into your web browser)

DoDI no. 6495.01, Sexual Assault Prevention and Response Program Procedures, 23 Jan 2012 (Change 3, 11 Apr 2017): <http://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodd/649501p.pdf>

DoDI no. 6495.01, Sexual Assault Prevention and Response Program Procedures, 28 Mar 2013 (Change 3, 24 May 2017):
<http://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/649502p.pdf>

OPM on Diversity and Inclusion: <https://www.opm.gov/policy-data-oversight/diversity-and-inclusion/>

Equal Employment Opportunity Commission (EEOC): <http://www.eeoc.gov/>

AR 690-12, Equal Employment Opportunity and Diversity, 22 Dec 2016:

https://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/AR690-12_Web_Final.pdf

- Appendix C – Procedures for Providing Reasonable Accommodation for Individuals with Disabilities
- Appendix D – Dept. of the Army Anti-Harassment Policy Implementation Procedures

Army Sexual Harassment/Assault Response and Prevention (SHARP) Program:

<http://www.army.mil/sharp>

SHARP Guidebooks: http://www.sexualassault.army.mil/cc_guidebook.aspx

NOTES: