

## FORWARD

In this period of austerity within the Federal Government, the challenge for greater effectiveness has never been greater. We must all strive to accomplish our work in more effective ways with less resources. This requirement for increased productivity in all our endeavors has never been greater and will undoubtedly continue with even greater intensity in the future.

While all of us in the Corps family are directly involved in this effort to increase productivity, supervisors and managers have an even greater role to play. Within the South Pacific Division, Human Resources Management is regarded as a function of supervision. In that regard, managers/supervisors bear the heavy responsibility for our most valuable asset, those who perform the day-to-day assignments in accomplishing the mission. The skill and integrity with which managers/supervisors accomplish their Human Resources Management responsibilities, will determine their success and will be reflected in the employees' productivity.

With this in mind, this Handbook has been prepared to provide you a ready source of basic information concerning policies and procedures of Human Resources Management.

PATRICIA L. ANDREWS  
Director, Human Resources

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SOUTH PACIFIC DIVISION  
SUPERVISOR'S HANDBOOK

INDEX

<i>SUBJECT:</i>	<i>"LOOK IT'S IN THERE"</i>
<i>5-YEAR INDIVIDUAL DEVELOPMENT PLAN (SAMPLE FORM)</i>	<i>SECTION VI</i>
<i>ABSENCE WITHOUT OFFICIAL LEAVE (AWOL)</i>	<i>SECTION V</i>
<i>ACHIEVEMENT MEDAL FOR CIVILIAN SERVICE</i>	<i>SECTION VII</i>
<i>ACTEDs GOALS</i>	<i>SECTION VI</i>
<i>ACTEDs: YOUR LINK TO THE FUTURE</i>	<i>SECTION VI</i>
<i>ADMNISTRATIVE WORK WEEK</i>	<i>SECTION V</i>
<i>ADVERSE ACTION CHECKLIST FOR DECIDING OFFICIALS</i>	<i>SECTION V</i>
<i>ALTERNATIVE WORK SCHEDULE (AWS)</i>	<i>SECTION V</i>
<i>AN OVERVIEW OF THE FEDERRAL DISABILITY RETIREMENT PROGRAM</i>	<i>SECTION III</i>
<i>ANNUAL LEAVE</i>	<i>SECTION V</i>
<i>APPEALS</i>	<i>SECTION IV</i>
<i>APPLICATION FOR SEPARATION INCENTIVE (Expanded Program)</i>	<i>SECTION III</i>
<i>ARMY CIVILIAN TRAINING, EDUATION, DEVELOPMENT (ACTDEDS)</i>	<i>SECITON VI</i>
<i>ARMY MANAGEMENT STAFF COLLEGE (AMSC)</i>	<i>SECTION VI</i>
<i>ARMY INCENTIVE AWARDS PROGRAM</i>	<i>SECTION VII</i>
<i>AVAILABLE TRAINING</i>	<i>SECTION VI</i>
<i>CAREER REFERRAL</i>	<i>SECTION III</i>
<i>CERTIFICATE OF APPRECIATION FOR PATRIOTIC CIVILIAN</i>	<i>SECTION VII</i>

USAED  
SOUTH PACIFIC DIVISION  
SUPERVISOR'S HANDBOOK

INDEX

<i>SERVICE</i>	
<i>CERTIFICATE OF ACHIEVEMENT</i>	<i>SECTION VII</i>
<i>CIVIL SERVICE RETIREMENT SYSTEM (CSRS)</i>	<i>SECTION VII</i>
<i>CIVILIAN FOR HUMANITARIAN SERVICE</i>	<i>SECTION VII</i>
<i>CLASSIFICATION APPEALS</i>	<i>SECTION IV</i>
<i>CLASSIFICATION STANDARDS</i>	<i>SECTION IV</i>
<i>COMMANDER'S AWARDS FOR CIVILIAN SERVICE</i>	<i>SECTION VII</i>
<i>COMMUNICATIONS</i>	<i>SECTION V</i>
<i>CONDUCT DURING THE INTERVIEW</i>	<i>SECTION III</i>
<i>CONDUCTING STRUCTURED SELECTION INTERVIEWS</i>	<i>SECTION III</i>
<i>CONDUCTING PRE-HIRE INTERVIEWS</i>	<i>SECTION III</i>
<i>COURT LEAVE</i>	<i>SECTION V</i>
<i>DEATH</i>	<i>SECTION VII</i>
<i>DECORATION FOR EXCEPTIONAL CIVILIAN SERVICE</i>	<i>SECTION VII</i>
<i>DEFENSE MANAGEMENT EDUCATION &amp; TRAINING (DMET) PROGRAM</i>	<i>SECTION VI</i>
<i>DEFENSE ACQUISITION UNIVERSITY (DAU)</i>	<i>SECTION VI</i>
<i>DEVELOPMENT DIVISION</i>	<i>SECTION VI</i>
<i>DISCIPLINARY SITUATIONS</i>	<i>SECTION V</i>
<i>DISCIPLINE</i>	<i>SECTION V</i>
<i>DoD PRIORITY PLACEMENT PROGRAM (PPP)</i>	<i>SECTION III</i>
<i>DOUGLAS FACTORS</i>	<i>SECTION V</i>

USAED  
SOUTH PACIFIC DIVISION  
SUPERVISOR'S HANDBOOK

INDEX

<i>EMPLOYEE COUNSELING</i>	<i>SECTION V</i>
<i>EMPLOYEE ASSISTANCE PROGRAM</i>	<i>SECTION V</i>
<i>EMPLOYEE SERVICES</i>	<i>SECTION V</i>
<i>EMPLOYEE GRIEVANCE/APPEAL RIGHTS</i>	<i>SECTION V</i>
<i>EMPLOYEE'S RIGHTS</i>	<i>SECTION V</i>
<i>EMPLOYING THE PHYSICALLY HANDICAPPED</i>	<i>SECTION III</i>
<i>EMPLOYING THE DISABLED AMERICAN VETERAN</i>	<i>SECTION III</i>
<i>ENROLLMENT APPLICATION (SAMPLE)</i>	<i>SECTION III</i>
<i>EXCUSED ABSENCES (ADMINISTRATIVE LEAVE)</i>	<i>SECTION V</i>
<i>EXPANDED VSIP</i>	<i>SECTION III</i>
<i>FAMILY FRIENDLY LEAVE</i>	<i>SECTION V</i>
<i>FAMILY AND MEDICAL LEAVE ACT</i>	<i>SECTION V</i>
<i>FEDERAL EMPLOYEES HEALTH BENEFITS</i>	<i>SECTION VII</i>
<i>FEDERAL EMPLOYEES RETIREMENT SYSTEM (FERS)</i>	<i>SECTION VII</i>
<i>FEDERAL EMPLOYEES COMPENSATORY ACT (Basic Forms)</i>	<i>SECTION VII</i>
<i>FORMAL DISCUSSIONS</i>	<i>SECTION V</i>
<i>FORMAL DISCIPLINARY ACTIONS</i>	<i>SECTION V</i>
<i>FUNCTIONS OF THE STRUCTURED SELECTION PROCESS</i>	<i>SECTION III</i>
<i>FUNCTIONS OF THE PREHIRE INTERVIEW</i>	<i>SECTION III</i>
<i>GENERAL HUMAN RESOURCES POLICY</i>	<i>SECTION I</i>
<i>GRIEVANCES AND APPEALS</i>	<i>SECTION V</i>
<i>GUIDELINES FOR DEVELOPING INTERVIEW QUESTIONS</i>	<i>SECTION III</i>

USAED  
SOUTH PACIFIC DIVISION  
SUPERVISOR'S HANDBOOK

INDEX

<i>HONORARY AWARDS</i>	<i>SECTION VII</i>
<i>HOW TO REVIEW AN EMPLOYEE'S SF-172</i>	<i>SECTION III</i>
<i>HOW TO MAINTAIN A CLASSIFICATION PROGRAM</i>	<i>SECTION IV</i>
<i>IN-SERVICE PLACEMENT</i>	<i>SECTION III</i>
<i>INCENTIVE AWARDS ADMINISTRATION</i>	<i>SECTION VII</i>
<i>INDIVIDUAL ACTIONS AND ADMINISTRATION</i>	<i>SECTION IV</i>
<i>INFORMAL DISCIPLINARY ACTIONS</i>	<i>SECTION V</i>
<i>INJURY COMPENSATION FOR FEDERAL EMPLOYEES</i>	<i>SECTION VII</i>
<i>INTERNAL AUDIT</i>	<i>SECTION VII</i>
<i>INTERNAL VSIP</i>	<i>SECTION III</i>
<i>JOB CLASSIFICATION &amp; EVALUATION</i>	<i>SECTION IV</i>
<i>LABOR-MANAGEMENT RELATIONS</i>	<i>SECTION V</i>
<i>LEADERSHIP, EXECUTIVE AND DEVELOPMENT (LEAD)</i>	<i>SECTION VI</i>
<i>LEAVE ADMINISTRATION</i>	<i>SECTION V</i>
<i>LEAVE CATEGORIES</i>	<i>SECTION V</i>
<i>LEAVE FOR MATERNITY REASONS</i>	<i>SECTION V</i>
<i>LEAVE FOR PATERNITY REASONS</i>	<i>SECTION V</i>
<i>LEAVE WITHOUT PAY (LWOP)</i>	<i>SECTION V</i>
<i>LEAVE TRANSFER PROGRAM</i>	<i>SECTION V</i>
<i>LEGAL AND REGULATORY RESPONSIBILITY</i>	<i>SECTION VII</i>
<i>LETTER OF WARNING</i>	<i>SECTION V</i>
<i>LIFE AND HEALTH INSURANCE</i>	<i>SECTION VII</i>

USAED  
SOUTH PACIFIC DIVISION  
SUPERVISOR's HANDBOOK

INDEX

<i>LIST OF PRIORITIES</i>	<i>SECTION VI</i>
<i>LONG-TERM TRAINING (LTT)</i>	<i>SECTION VI</i>
<i>MANAGEMENT ASSISTANCE</i>	<i>SECTION VI</i>
<i>MANAGEMENT INFORMATION SYSTEMS</i>	<i>SECTION VII</i>
<i>MANAGEMENT-EMPLOYEE RELATIONS DIVISION</i>	<i>SECTION V</i>
<i>MERIT PROMOTION AND INTERNAL PLACEMENT</i>	<i>SECTION III</i>
<i>MERITORIOUS CIVILIAN SERVICE AWARD</i>	<i>SECTION VII</i>
<i>MANAGEMENT-EMPLOYEE RELATIONS REQUIREMENTS</i>	<i>SECTION III</i>
<i>MILITARY LEAVE</i>	<i>SECTION V</i>
<i>NON-COMPETITIVE PLACEMENT CONSIDERATION PROCESS- SPD INTERNAL EMPLOYEES</i>	<i>SECTION IV</i>
<i>OBJECTIVE OF POSITION MANAGEMENT</i>	<i>SECTION IV</i>
<i>OFFICE OF WORKERS' COMPENSATION</i>	<i>SECTION VII</i>
<i>OFFICE OF THE CHIEF</i>	<i>SECTION II</i>
<i>OFFICE OF PERSONNEL MANAGEMENT -- MANAGEMENT DEVELOPMENT CENTERS</i>	<i>SECTION VI</i>
<i>ON-THE-SPOT CASH AWARD</i>	<i>SECTION VII</i>
<i>ORAL WARNING/ADMONISHMENT</i>	<i>SECTION V</i>
<i>ORGANIZATIONAL LEADERSHIP FOR EXECUTIVES (OLE)</i>	<i>SECTION VI</i>
<i>OVERSEAS INTERCHANGE</i>	<i>SECTION III</i>
<i>PERFORMANCE AWARDS</i>	<i>SECTION VII</i>
<i>PERSONAL ADVERSE ACTIONS</i>	<i>SECTION V</i>
<i>PERSONNEL MANAGEMENT FOR EXECUTIVES (PME)</i>	<i>SECTION VI</i>

USAED  
SOUTH PACIFIC DIVISION  
SUPERVISOR'S HANDBOOK

INDEX

<i>POSITION DESCRIPTIONS</i>	<i>SECTION IV</i>
<i>POSITION CHANGES</i>	<i>SECTION IV</i>
<i>POSITION CLASSIFICATION</i>	<i>SECTION IV</i>
<i>POSITION DESCRIPTIONS HAVE OTHER USES</i>	<i>SECTION IV</i>
<i>POSITION MANAGEMENT</i>	<i>SECTION IV</i>
<i>POSITION MANAGEMENT &amp; CLASSIFICATION</i>	<i>SECTION IV</i>
<i>POSITION AUDIT</i>	<i>SECTION IV</i>
<i>PREPARATION FOR OTHER ASPECTS OF THE INTERVIEW</i>	<i>SECTION III</i>
<i>PREPARATION OF INTERVIEW QUESTIONS</i>	<i>SECTION III</i>
<i>PREPARING A PERFORMANCE IMPROVEMENT PLAN</i>	<i>SECTION V</i>
<i>PRIMARY USE OF POSITION DESCRIPTIONS</i>	<i>SECTION IV</i>
<i>PROBATIONARY PERIOD FOR A SUPERVISORY/MANAGERIAL POSITION</i>	<i>SECTION III</i>
<i>PROCESS OF TAKING DISCIPLINARY ACTIONS</i>	<i>SECTION V</i>
<i>PROCESSING PERSONNEL ACTIONS</i>	<i>SECTION III</i>
<i>PROGRAM DEVELOPMENT AND ADMINISTRATION</i>	<i>SECTION VI</i>
<i>PURPOSE OF AN SF-172</i>	<i>SECTION III</i>
<i>QUALITY STEP INCREASE (QSI)</i>	<i>SECTION VII</i>
<i>RATING AN EMPLOYEE WHO IS APPLYING FOR MERIT PROMOTION CONSIDERATION (SUPERVISOR'S GUIDE)</i>	<i>SECTION III</i>
<i>RECOMMENDED SUBMISSION TIMEFRAMES FOR SF-52's (REQUEST FOR PERSONNEL ACTIONS)</i>	<i>SECTION III</i>
<i>RECRUITMENT</i>	<i>SECTION III</i>

USAED  
SOUTH PACIFIC DIVISION  
SUPERVISOR'S HANDBOOK

INDEX

<i>RECRUITMENT BONUS</i>	<i>SECTION III</i>
<i>RELOCATION BONUS</i>	<i>SECTION III</i>
<i>REMOVAL</i>	<i>SECTION V</i>
<i>REPORTING OFFICIAL TIME</i>	<i>SECTION V</i>
<i>REPROMOTION ELIGIBLE</i>	<i>SECTION III</i>
<i>REQUEST FOR NONCOMPETITIVE CONSIDERATION</i>	<i>SECTION III</i>
<i>REQUEST FOR NONCOMPETITIVE CONSIDERATION (SAMPLE MEMO)</i>	<i>SECTION III</i>
<i>REQUIREMENTS FOR SUPERVISORY REVIEW OF AN SF-172</i>	<i>SECTION III</i>
<i>RESPONSIBILITIES FOR WRITING POSITION DESCRIPTIONS</i>	<i>SECTION IV</i>
<i>RETENTION ALLOWANCE</i>	<i>SECTION III</i>
<i>RETIREMENT</i>	<i>SECTION VII</i>
<i>SAMPLE CORRESPONDENCE FOR SUPERVISOR'S</i>	<i>SECTION V</i>
<i>SCORING CRITERIA FOR SELECTION FACTORS</i>	<i>SECTION III</i>
<i>SECRETARY OF THE ARMY AWARD FOR OUTSTANDING ACHIEVEMENT IN MATERIAL ACQUISITION</i>	<i>SECTION VII</i>
<i>SELECTION MATRIX</i>	<i>SECTION III</i>
<i>SELECTION PITFALLS -- LESSONS LEARNED</i>	<i>SECTION III</i>
<i>SICK LEAVE</i>	<i>SECTION V</i>
<i>SPECIAL PROGRAMS/COURSES</i>	<i>SECTION VI</i>
<i>SPECIAL CLASSIFICATION</i>	<i>SECTION IV</i>
<i>STAFFING DIVISION</i>	<i>SECTION III</i>
<i>STANDARD OF ADEQUACY FOR POSITION DESCRIPTIONS</i>	<i>SECTION IV</i>

USAED  
SOUTH PACIFIC DIVISION  
**SUPERVISOR'S HANDBOOK**

INDEX

<i>STEPS TO TAKING DISCIPLINARY ACTIONS</i>	<i>SECTION V</i>
<i>STEPS IN THE SELECTION PROCESS</i>	<i>SECTION III</i>
<i>SUPERIOR ACCOMPLISHMENT AWARDS</i>	<i>SECTION VII</i>
<i>SUPERIOR CIVILIAN SERVICE AWARD</i>	<i>SECTION VII</i>
<i>SUPERVISORY/MANAGER PROBATION PROCESS</i>	<i>SECTION III</i>
<i>SUPERVISOR'S GUIDE -- REVIEWING AN EMPLOYEE'S SF-172</i>	<i>SECTION III</i>
<i>SUPERVISOR'S RESPONSIBILITY FOR CLASSIFICATION</i>	<i>SECTION IV</i>
<i>SUPERVISOR'S GUIDE TO MAKING SELECTIONS</i>	<i>SECTION III</i>
<i>SUPERVISOR'S CHECKLIST (TRAINING RESPONSIBILITIES)</i>	<i>SECTION VI</i>
<i>SUPERVISORY LABOR RELATIONS RESPONSIBILITIES</i>	<i>SECTION V</i>
<i>SUPERVISORY PROBATIONARY PERIOD (SAMPLE MEMO)</i>	<i>SECTION III</i>
<i>SUSPENSION</i>	<i>SECTION V</i>
<i>SYNOPSIS -- TEN STEPS TO A SUCCESSFUL SELECTION</i>	<i>SECTION III</i>
<i>TABLE OF PENALTIES FOR VARIOUS OFFENSES</i>	<i>SECTION V</i>
<i>TAKING PERFORMANCE BASED ACTIONS</i>	<i>SECTION V</i>
<i>TECHNICAL SERVICES DIVISION</i>	<i>SECTION VII</i>
<i>TEMPORARY &amp; TERM APPOINTMENTS</i>	<i>SECTION III</i>
<i>TERMINATION</i>	<i>SECTION V</i>
<i>THE CLASSIFIER'S ROLE</i>	<i>SECTION IV</i>
<i>THE INTERVIEW SEQUENCE</i>	<i>SECTION III</i>
<i>THE POSITION VERSUS THE EMPLOYEE</i>	<i>SECTION IV</i>
<i>THE POSITION (OR JOB) WHAT IS IT?</i>	<i>SECTION IV</i>

USAED  
SOUTH PACIFIC DIVISION  
SUPERVISOR'S HANDBOOK

INDEX

<i>THRIFT SAVINGS PLAN</i>	<i>SECTION VII</i>
<i>TIME-OFF AWARD</i>	<i>SECITON VII</i>
<i>TIPs FOR SUPERVISORS</i>	<i>SECTION IV</i>
<i>TOTAL ARMY PERFORMANCE EVALUATION SYSTEM (TAPES)</i>	<i>SECITON V</i>
<i>TRAINING REQUIREMENTS</i>	<i>SECTION VI</i>
<i>TRAINING NEEDS</i>	<i>SECITON VI</i>
<i>TRAINING REQUIREMENTS/PROBATIONARY APPRAISALS FOR SUPERVISORY/MANAGERIAL PROSITIONS</i>	<i>SECTION III</i>
<i>UPWARD MOBILITY</i>	<i>SECITON III</i>
<i>VETERANS READJUSTMENT APPOINTMENT</i>	<i>SECTION VI</i>
<i>VOLUNTARY SEPARATION INCENTIVE PAY</i>	<i>SECITON III</i>
<i>WHAT IS ACTED's</i>	<i>SECTION VI</i>
<i>WHEN AND HOW TO DISCIPLINE</i>	<i>SECITON V</i>
<i>WHY ARE POSITIONS (JOBS) CLASSIFIED</i>	<i>SECITON IV</i>
<i>WITHHOLDING OF WITHIN-GRADE INCREASE</i>	<i>SECTION V</i>
<i>WITHIN-GRADE INCREASES</i>	<i>SECTION VII</i>
<i>WRITING POSITION DESCRIPTIONS</i>	<i>SECTION IV</i>
<i>WRITING SPECIFIC STATEMENTS OF MAJOR DUTIES</i>	<i>SECITON IV</i>
<i>WRITTEN REPRIMAND</i>	<i>SECTION V</i>



**POLICY**

**GENERAL HUMAN RESOURCES**

**INDEX**

➤	<i>PURPOSE</i>
➤	<i>SCOPE</i>
➤	<i>RESPONSIBILITIES</i>
➤	<i>PROCEDURES</i>

# GENERAL HUMAN RESOURCES POLICY

## SECTION I

**PURPOSE:** This Supervisor's Handbook contains policies governing all aspects of personnel management programs. The comprehensive information and guidance on policies and objectives of the personnel management program are intended to assure that:

1. Employees are given fair and impartial treatment regardless of race, sex, handicap, national origin, age, color, religion, membership or non-membership in an employee organization;
2. Employees are assigned to positions for which they are best suited and have opportunity for advancement based on merit;
3. Employees are given proper training to effectively accomplish their jobs and rated impartially on their performance;
4. Employees are compensated equitably and given proper recognition for superior service;
5. Safe and healthful working conditions are provided;
6. Employees are informed fully about policies and plans affecting their work;

7. Employees have full freedom and opportunity to express themselves towards improving work methods and altering working conditions; and

8. Employees are accorded a full and fair hearing on any grievance.

**SCOPE:** The provisions of this Handbook apply to all employees serviced by the Directorate of Human Resources, South Pacific Division.

### **RESPONSIBILITIES:**

1. Commanders, Directors, and Division Chiefs are responsible for providing personnel leadership and support for the personnel management program. They will also develop, implement, and evaluate the personnel management program for their organizations in accordance with policies and procedures prescribed in this Handbook and as supplemented by other publications.
2. The Director, Human Resources, is responsible for the administration of the personnel management program for all serviced activities. The areas of responsibility include:

a. Provide centralized Human Resources services to all serviced activities; b. Furnish staff guidance and assistance directly to line officials in the development and administration of civilian personnel programs designed to obtain, compensate, develop, utilize and retain a qualified and efficient work force;

c. Administer legal, regulatory and procedural controls established within the Federal Personnel System.

d. Evaluate positions and effect personnel actions for Commanders under delegated authority.

3. Managers and supervisors are responsible for administering all phases of the civilian personnel program in accomplishing assigned tasks. This includes managing positions, selecting employees and assigning duties, evaluating worker performance, training and developing employees, using incentives, maintaining management-employee communications, administering constructive discipline, equal employment opportunity, administering leave, and promoting employee safety.

## **PROCEDURES:**

1. This Supervisor's Handbook is designed to serve as the principal guide for fulfilling your responsibilities in the conduct of the Human Resources program. If a particular subject or situation is not covered or is not in adequate depth, an appropriate representative of the Directorate of Human Resources Division should be contacted.

2. A trained Human Resources staff is maintained to assist in implementing policies and objectives of the program. Another major responsibility of this specialized staff is to perform for each organization those tasks which are essential to sound personnel a central or separate operation because of their technical nature.

3. The existence of a specialized Human Resources staff does not diminish the responsibility of supervisors to exercise the full range of their personnel management responsibilities and to foster and preserve healthy supervisor-employee relations.

# OFFICE OF THE DIRECTOR

## SECTION II

1. Develops the Human Resources program for the Division in accordance with policies and directives of higher authority.

2. Provides staff support to the Division Commander and other management officials on personnel matters including the interpretation of policies prescribed by higher authorities and the formulation of Division personnel policies affecting Division and District operations.

3. Conducts the military personnel administration and pay program for all active and reserve military personnel assigned to the Division.

4. Provides all Human Resources services and assistance necessary to the Division and District Offices and other serviced organizations to obtain, compensate, develop, utilize, and retain an effective civilian work force through implementation of Department of the Army, Office of the Chief of Engineers, Division and District policies,

revised Division policies, as well as the solution of problem situations which may have Division-wide application.

9. Actively engages in the planning and problem solving functions of the Division. Provides leadership for the College Recruitment, Cooperative

programs and legal and regulatory requirements.

5. Provides information and staff assistance and guidance to management and supervisory officials to assist them in obtaining the most effective use of the work force through sound management practices.

6. Administers a positive program of Equal Employment opportunity for all persons without regard to race, color, national origin, sex, age or handicapping condition, in accordance with Office of Personnel Management, Equal Employment Opportunity Commission, and Department of Army policies and regulations.

7. Maintains community relations through association with civic groups. Conducts daily business in full consideration of the effect of policies and actions on public relations.

8. Represents the needs and interests of serviced activities in the South Pacific Division. Participates in the development of new and

10. Responsible for the supervision and direction of military personnel program activities in support of active duty officers assigned to South Pacific Division and subordinate Districts and reserve officers while on active duty training within the Division. Oversees the requisitioning of officer replacements, maintenance of leave

## STAFFING DIVISION INDEX

SUBJECT:	PAGE:
<ul style="list-style-type: none"> <li>➤ Overview               <ul style="list-style-type: none"> <li>&gt;Career Referral&lt;</li> <li>&gt;Personnel Requirements and Resources&lt;</li> <li>&gt;Recruitment&lt;</li> <li>&gt;In-Service Placement&lt;</li> <li>&gt;Overseas Interchange&lt;</li> <li>&gt;Processing Personnel Actions&lt;</li> </ul> </li> </ul>	1-2
<ul style="list-style-type: none"> <li>➤ Recommended Submission Timeframes for SF-52's (Request for Personnel Actions)</li> </ul>	3-4
<ul style="list-style-type: none"> <li>➤ Information Paper -- Temporary and Term Appt</li> </ul>	5-7
<ul style="list-style-type: none"> <li>➤ Supervisor's Guide -- Reviewing an Employee's SF-172</li> </ul>	8-10
<ul style="list-style-type: none"> <li>➤ Supervisor's Guide -- Rating an Employee who is Applying for Merit Promotion Consideration</li> </ul>	11-12
<ul style="list-style-type: none"> <li>➤ Training Requirements/Probationary Appraisals for Supervisory/Managerial Positions</li> </ul>	13-23
<ul style="list-style-type: none"> <li>➤ Non-Competitive Placement Consideration</li> </ul>	24-30
<ul style="list-style-type: none"> <li>➤ Employing the Disabled American Veteran (DAV)</li> </ul>	31
<ul style="list-style-type: none"> <li>➤ Veteran's Readjustment Appointment</li> </ul>	32-33
<ul style="list-style-type: none"> <li>➤ Supervisor's Guide to Making Selections</li> </ul>	34 (i-xxiii)
<ul style="list-style-type: none"> <li>➤ Employing the Physically Handicapped</li> </ul>	35-37
<ul style="list-style-type: none"> <li>➤ DoD Priority Placement Program (PPP)</li> </ul>	38-41
<ul style="list-style-type: none"> <li>➤ Merit Promotion and Internal Placement</li> </ul>	42-43
<ul style="list-style-type: none"> <li>➤ Voluntary Separation Incentive Pay Program</li> </ul>	44-51
<ul style="list-style-type: none"> <li>➤ Repromotion Eligible</li> </ul>	52
<ul style="list-style-type: none"> <li>➤ Retention Allowance</li> </ul>	53-56
<ul style="list-style-type: none"> <li>➤ Relocation Bonus</li> </ul>	57-61
<ul style="list-style-type: none"> <li>➤ Recruitment Bonus</li> </ul>	62-65
<ul style="list-style-type: none"> <li>➤ Upward Mobility Program</li> </ul>	66-76

# STAFFING DIVISION

## SECTION III

The overall responsibility of this Division is to provide the quality and quantity of personnel needed for mission accomplishment in full compliance with the principles of merit and equality of opportunity. Specific functions include the following:

**CAREER REFERRAL:** Maintains Division-wide engineer and scientists career registration and career appraisal for selected grade levels of implemented career fields, providing referral service to the field. Schedules and conducts Major Command (MACOM) screening panel activities.

### **PERSONNEL REQUIREMENTS AND RESOURCES:**

1. Develops and administers programs and provides input to command/DA systems for short and long-range analysis of civilian personnel staffing requirements and resources. Evaluates trends in missions, technology, manpower and fiscal resources and other factors influencing future needs.
2. Develops reliable predictions of the future status of the current workforce based on evaluation of the potential of individual employees and statistical analyses of employee movement (such as promotions, reassignments, and

**RECRUITMENT:** Develops and maintains a continuing positive labor resource program, acting to promote a favorable response to the Department

losses) resulting in employment trends. Relates study findings to future staffing needs.

3. Analyzes outside sources of potential employees to meet staffing needs. Evaluates short and long-term availability of applicants, competition for employees, qualification requirements, Army's anticipated competitive position and other factors influencing potential intake. In conjunction with managers, develops projection intake requirements.

area of occupational specialty for OCONUS positions; OCONUS activities are responsible for transmitting both estimates of general and specific needs, and requests for

as an employer. Using information on labor sources, plans a continuing program for development of these sources as resources for employee intake. Is responsible for college intake. Is responsible for college level recruitment directly related to long range intake needs. Plans recruitment media use and develops media projects. With managers, selects and trains recruiters, establishes recruitment schedules and coordinates visits to meet local needs and support higher level programs. Makes full use of all potential employment sources. Recruits and provides support to other Army and Federal recruiters. Establishes continuous pre-employment service to recruited personnel. Evaluates recruitment effectiveness.

### **IN-SERVICE PLACEMENT:**

Administers all in-service placement, including mandatory actions under OPM, DOD, DA and command programs, promotions, reassignments, details, nonpersonal adverse actions (such as reduction-in-force), and out-placement. Is responsible for the quality of all placement actions; plans and develops local applicant evaluation systems; and participates in programs established by higher echelons. Coordinates participation in candidate evaluation and its relation to consideration for selection.

### **OVERSEAS INTERCHANGE:**

CONUS activities provide priority in-service and external recruitment assistance in a geographic

personnel action, to CONUS to provide maximum possible lead time. CONUS and OCONUS activities share responsibility for optimum placement and utilization of overseas employees for whom CONUS assignment is appropriate.

### **PROCESSING PERSONNEL ACTIONS:**

1. Requests approval for advances in hiring rates where necessary for recruitment or retention purposes.
2. Administers transportation in connection with travel to first duty station or permanent change of stations.

**RECOMMENDED SUBMISSION TIMEFRAMES  
FOR SF-52's,  
(REQUEST FOR PERSONNEL ACTIONS)**

1. Requesting personnel and position actions is part of a supervisor's basic management responsibility. When an action is necessary the supervisor:
  - a. requests the Directorate of Human Resources (DHR) take proper action;
  - b. consults, as necessary, with DHR on technical aspects of actions;
  - c. makes sure that necessary approvals are obtained and other pertinent requirements are met before submitting a SF-52, Request for Personnel Action.
2. DHR processes personnel and position actions only upon receipt of a SF-52.
3. Below is a list of personnel actions with recommended submission timeframes:

<b>NATURE OF ACTION:</b>	<b>RECOMMENDED TIME PRIOR TO EFFECTIVE DATE SF-52 SHOULD BE SUBMITTED BY 2ND LEVEL OFFICIAL:</b>	<b>REMARKS:</b>
ABOLISH POSITION -- NOT ENCUMBERED	2 WEEKS	
ABOLISHMENT OF POSITION -- ENCUMBERED	1 WEEK OR ASAP	
RECRUIT -- STUDENT	ASAP OR 6-8 WEEKS	
RECRUIT -- TERM	ASAP OR 8-10 WEEKS	
RECRUIT -- TEMPORARY	ASAP OR 6-8 WEEKS	
CHANGE IN DUTY STATION	4 WEEKS	IF TRAVEL ORDERS ARE REQUIRED, ALLOW 8-12 WEEKS
CHANGE-TO-LOWER GRADE -- FROM TEMP PROMOTION	52 SHOULD BE SUBMITTED WITH TEMPORARY PROMOTION	
DEATH	IMMEDIATELY	
DETAIL	6 WEEKS	
TERM DETAIL -- TERMINATE PRIOR TO NTE DATE	3 WEEKS	
DETAIL -- EXTENDED	4 WEEKS	
ESTABLISHED NEW POSITION	6-8 WEEKS	

ESTABLISH/RECRUIT	10-12 WEEKS	
EXT -- TEMP APPOINTMENT	6 WEEKS	
EXT -- STUDENT APPT	6 WEEKS	
LWOP	2 WEEKS	A RESIGNATION 52 SHOULD ACCOMPANY LWOP REQUEST WHEN FOLLOWING SPOUSE OR SEEKING EMPLOYMENT OUTSIDE AREA.
LWOP -- EXTENDED	2 WEEKS	
NAME CHANGE	AS SOON AS CHANGE OCCURS	
TEMP PROMOTION NTE 120 DAYS OR LESS. NAME REQUEST, NO COMPETITION REQUIRED.	4 WEEKS	
PROMOTION -- TEMP. NO NAME REQUEST, COMPETION REQUIRED.	6-8 WEEKS	ALLOW TIME TO ADVERTISE FOR COMPETITIVE ACTION.
EXT TEMP PROMOTION	6 WEEKS	ALLOW UP TO 120 DAYS UNLESS ACTION WAS COMPETITIVE.
PROM -- CAREER LADDER	6 WEEKS	
RE-EMPLOY -- MILITARY	4 WEEKS	
REASSIGNMENT	4 WEEKS	
RECRUIT -- PERMANENT	ASAP OR 10-12 WEEK	
REMOVAL	2 WEEKS	
RESIGNATION	2 WEEKS OR ASAP	
RETIREMENT	4 WEEKS OR ASAP	
RETURN TO DUTY	SHOULD ACCOMPANY LWOP 52	
SUSPENSION	2 WEEKS OR AS SOON AS DECISION TO SUSPEND IS APPROVED.	
TERM -- EXT OF APPT	4 WEEKS	

4. POC for further information is the Chief, Staffing Division, Directorate of Human Resources, (916) 557-6796.

## INFORMATION PAPER

CESPD-HR-R  
K. Schulz/(916) 557-5339  
9 December 1994

SUBJECT: Temporary Appointments and Term Appointments

1. Purpose: To give information regarding the appropriate use, time limits, certification process and special conditions of temporary appointments and term appointments.

a. Temporary Employment:

1) Appropriate Use: An agency may make a temporary limited appointment to fill a short-term position (i.e., one that is not expected to last longer than 1 year); to meet an employment need that is scheduled to be terminated for such reasons as abolishment, reorganization, anticipated reduction in funding, or completion of a specific project or peak workload.

2) Certification: In order to fill a position on a temporary basis, the supervisor must certify that the position is truly temporary and that the proposed appointment meets the regulatory time limits. Certification must include the reason for the temporary position. Certification will be done in Part D of the SF-52, Request for Personnel Action.

3) Time Limits: A supervisor may make a temporary appointment for a specified period not to exceed 1 year and the appointment may be extended up to a maximum of 1 additional year (2 years of total service). Appointment to a successor position (i.e., to a position that replaces and absorbs the position to which an individual was originally appointed) is considered to be an extension of the original appointment. Appointment to a position involving the same basic duties and same local commuting area as the original appointment is also considered to be an extension of the original appointment. A position may not be filled by temporary appointment if that position has previously been filled by temporary appointment(s) for an aggregate of 2 years, with the preceding 3-year period.

4) Special Conditions of Temporary Employment:

(a) Temporary employees are not eligible for within-grade increases.

(b) Temporary employees are not eligible for coverage under

the Federal Employees Retirement System or the Federal Employees Group Life Insurance Program.

(c) Temporary employees are eligible for coverage under the Federal Employees Health Benefits Program once they have one year of continuous service; however, the Government does not pay a portion of their coverage, temporary employees pay 100% plus a 2% administrative fee.

(d) Temporary employees earn leave when appointed to a position when a regularly scheduled tour of duty if their appointment is scheduled to last 90 days or more.

5) Exceptions: Supervisors may make and extend temporary appointments to positions involving intermittent or seasonal work without regard to the time limit requirements, provided employment in the position or successor position totals less than 6 months (1,040 hours) in a service year.

b. Term Employment:

1) Appropriate Use: An agency may use term appointments to fill positions which are expected to last longer than one year but which are clearly not of a continuing nature and will terminate upon completion of work. Examples of appropriate uses include: carrying out special project work; staffing new or existing programs of limited duration; filling positions undergoing a commercial activity review or which are in the process of being closed; replacing permanent employees who have been temporarily assigned to another position, are on extended leave, or who have entered military service.

2) Time Limits: Term appointments may be made for a specified period exceeding 1 year and lasting not more than 4 years.

3) Special Conditions of Term Employment:

(a) All term employees, including those appointed on the basis of reinstatement eligibility, must serve a 1-year trial period.

(b) Term employees are eligible for within-grade increases.

(c) Term employees with full or part-time work schedules are eligible for coverage under the Federal Employees Retirement System, the Federal Employees Health Benefits Program, and the Federal Employees Group Life Insurance Program.

(d) Term employees are covered by reduction in force procedures and are placed in tenure group III if required to separate prior to the expiration date of their term appointment.

(e) Term employees earn leave when appointed to a position with a regularly scheduled tour of duty.

2. POC for further information is the Chief, Staffing Division, Directorate of Human Resources, (916) 557-6796.

## **SUPERVISOR's GUIDE REVIEWING AN EMPLOYEE's SF-172**

**PURPOSE OF AN SF-172:** An SF-172 (Amendment to Personal Qualification Statement) is used by employees to bring up to date their personal qualifications records in their Official Personnel Folder (OPF). Thus, an SF-172 should describe new or additional experience, training, skills, etc., that have not been previously documented in the OPF.

**REQUIREMENTS FOR SUPERVISORY REVIEW OF AN SF-172:** Supervisors will review, verify and sign all SF-172's which reflect work performed under their immediate supervision and forward to the Directorate of Human Resources in a timely manner.

**HOW TO REVIEW AN EMPLOYEE's SF-172:** There are many aspects of an SF-172 to review. If your employees want further assistance in completing their SF-172, you should refer them to the Directorate of Human Resources, Staffing Division or your local Directorate of Human Resources, Area Office.

1. Read the SF-172 carefully: Do not hurry your review. Be sure your employee submits their SF-172 timely to allow your review.

2. Make a general review of the SF-172:

a) Separate work experience blocks should be used for describing work in different positions.

b) The blocks above each description of work must be completed accurately. The dates, titles of positions, etc., must be consistent with other official documents in the OPF. If, for example, employees are unsure of dates of previous promotions, reassignments, etc., they should first review their OPF.

c) The SF-172 must be legible. If it is not, suggest to the employee that the SF-172 be typed. The SF-172 is of little benefit if no one can read it.

d) Make sure the employee has signed and dated the SF-172.

3. Review each work experience block:

a) If the experience described was performed off duty you do not need to verify or sign the SF-172.

b) If the experience described was performed under the supervision of another supervisor, have the employee take it or send it to that supervisor for review. c) If the experience described was performed, but the supervisor has left and there is no other supervisor who can verify that experience, have the employee add a brief statement to that effect under the description of work.

d) If the experience described was or is being performed under your supervision, you need to determine if the description of work is accurate and clear. If the description of work is not accurate or clear, you must discuss it with the employee and suggest appropriate changes. If you feel the description of work is accurate, you should go one step further and compare the description of work against the employee's job description.

#### 4. Compare against the job description:

a) If the SF-172 states the duties as described in the employee's job description, the SF-172 is not needed as the job description is already included in the OPF. You should counsel the employee to withdraw the SF-172.

b) If the SF-172 expands on the duties as described in the employee's present job description, it is an indication that you have assigned the duties properly and you should verify the SF-172.

c) If, however, the SF-172

(1) Was the work performed for less than 30 days?

(2) Was the work performed as a developmental or training assignment?

(3) Was the work performed on an occasional or intermittent basis?

(4) Was the work performed in the absence of another employee?

d) If the answer is "yes" to any of the above questions, you should have the employee include the appropriate explanation for any deviation from the present job description.

e) If the answer is "no" to all of the above questions, you probably have misassigned or are misassigning duties to the employee. You should review information on assignment of duties, details and temporary promotions to correct any misassignments or to prevent recurrences. You should also contact the Directorate of Human Resources, Chief, Staffing Division, (916) 557-6797, to determine what correct action is required.

describes duties not in the job description, then ask yourself the following:

**SIGN THE SF-172:** As a supervisor, you should verify the SF-172 only when it clearly and accurately describes the duties performed under your supervision. Even if the SF-172 indicates a misassignment occurred, you must sign the SF-172 if it is clear and accurate. You should sign, not initial, immediately below each description of duties you are verifying. It is helpful if you also include your organizational title.

**FORWARD THE SF-172 TO  
DIRECTORATE OF HUMAN  
RESOURCES, STAFFING**

**DIVISION:** Be sure to forward the SF-172 to the Directorate of Human Resources in a timely manner.

# SUPERVISOR'S GUIDE

## RATING AN EMPLOYEE WHO IS APPLYING FOR MERIT PROMOTION CONSIDERATION

1. When a current employee applies for a job within the South Pacific Division, one of the requirements is that they must submit a supervisory appraisal of the knowledges, skills and abilities required by the job. The Supervisory Appraisal of Applicant's Possession of Knowledges, Skills, and Abilities, which is attached to each Merit Promotion Vacancy Announcement, must be submitted with the employee's application package when applying for jobs.

2. When you rate an employee applying for a job, you should take the following steps:

a. Review the Knowledges, Skills and Abilities (KSA) as defined in the Merit Promotion Vacancy Announcement for the job for which the employee is applying.

b. Rate the employee on each KSA the degree to which the employee possesses or demonstrates the knowledge, skill or ability. From your personal knowledge KSA which best expresses your appraisal of the employee. Your rating must be based on your observation of the employee's performance, characteristics, work habits and related attitudes. If you have not observed the employee in relation to a KSA, mark that KSA with

3. Your should not allow yourself to

"X". There should be a high degree of consistency between this rating and the employee's most recent performance appraisal. This high degree of consistency may not result if the major job duties are substantially different from the KSAs of the Merit Promotion Announcement or if the employee's present performance level has changed since the official rating was made.

c. Ratings of 3, "Applicant has demonstrated the KSA to a superior degree", should be supported by written statement(s) on the back of the form.

d. The Supervisor Appraisal of Applicant's Possession of Knowledges, Skills, and Abilities form is to be completed by the immediate supervisor, signed, dated, and sent to the next level supervisor for review and signature. In some situations, practically speaking, only one signature is needed, case specific.

e. The form is not complete unless discussed with and signed by the employee.

employees to provide you sufficient

be rushed during the above process. Your ratings and comments are very important to the entire ranking process as well as in the selection process. To ensure you have enough time to do an adequate job, you should inform your

lead time prior to the closing date of the announcement.

## **TRAINING REQUIREMENTS/PROBATIONARY APPRAISALS FOR SUPERVISORY/MANAGERIAL POSITIONS**

1. The attached Standard Operating Procedure, CESPД-HR-R-93-01, dated 14 July 1993 outlines the procedures which apply to employees who are selected for a supervisory/managerial position. The procedures will be followed to ensure that new supervisors/managers receive proper notification of the requirements of a supervisory/managerial position, training and documentation of successful completion.
2. The Directorate of Human Resources has just received new guidance covering managerial probationary periods. We are in the process of developing appropriate guidance. We believe the requirements will be similar to those for a supervisory probationary period.
3. POC for further information is the Chief, Staffing Division, (916) 557-6796.

TRAINING REQUIREMENTS/PROBATIONARY APPRAISALS  
FOR  
SUPERVISORY/MANAGERIAL POSITIONS

1. POLICY: To ensure that individuals selected as new supervisors/managers complete the training requirements and probationary period when permanently placed in competitive service. This Standard Operating Procedure (SOP) applies to all Divisions of the Directorate of Human Resources and will be followed when processing new supervisors/managers.
2. REFERENCES:
  - a. FPM 315, Subchapter 9
  - b. C 17, AR 690-300, Chapter 315
  - c. AR 690-400, Chapter 430, Subchapter 4-7
  - d. C 2, AR 690-400, Chapter 410, Subchapter 2-2d
3. APPLICABILITY: This Standard Operating Procedure applies to employees who are selected for a supervisory/managerial position. It will be utilized by all Divisions of the Directorate of Human Resources to ensure that new supervisors/ managers receive proper notification of the requirements of a supervisory/managerial position, training, and documentation of successful completion.
4. PROCEDURES: The procedures to which this office will adhere when an individual is selected as a new supervisory/ manager are outlined in the attached flow chart.

3 Encl

1. Flow Chart
2. Memo for Supervisor
3. Memo for New Supervisor

/s/  
PATRICIA L. ANDREWS  
Director, Human Resources

NOTE: This SOP was developed by a Process Action Team (PAT) consisting of Bob Chase, Lestena Grigsby, Phyllis Harris, Emily Howe, Linda Luikens, Lisa Morgan, Linda Pitra and Jerry Wong. Please coordinate any changes or comments with any of these individuals.

FOR FLOW CHARTS SEE HARD COPY OF THE  
SUPERVISOR's HANDBOOK

(sub-section IIIf pages 3-5)

# SAMPLE MEMO \*\*\*\*\* SAMPLE MEMO

CESPD-HR-R (690-400)

MEMORANDUM FOR (NAME)

SUBJECT: Supervisory Probationary Period for (NAME OF EMPLOYEE)

1. Effective (DATE), (NAME OF EMPLOYEE), was selected for the position of (TITLE, SERIES & GRADE OF POSITION), and is subject to serve a one year probationary period. A supervisory/ managerial probationary period is required by Public Law 95-454 and established in FPM 315, Subchapter 8-3, and AR 690-400, Chapter 430, Subchapter 4-7.

2. The purpose of the probationary period is to give new supervisors/managers a chance to develop the unique skills and abilities which cannot readily be taught or developed in other kinds of positions. It provides the opportunity to access the employee's performance relative to their supervisory/managerial duties identified in their performance plan.

3. As the immediate supervisor, you are responsible for providing assistance for successful performance of the new duties and to monitor progress during the probationary period. Completion of the probationary period a prerequisite to continuation in the position. A valid performance plan must be accomplished within 30 days after appointment to the position. The employee is to be given an opportunity to provide input to the plan and must receive a copy of the plan. The plan must include special requirements relative to the performance of the supervisory/managerial duties. Specifically:

a. A critical standard furthering equal employment opportunity (EEO) and affirmative action is in all supervisory and management positions responsible for carrying out local affirmative action plan requirements.

b. Supervision/organizational management/leadership is a critical element in supervisor's and manager's plans. This would include, as applicable, responsibilities for personnel management, physical resource management, responsibility for the conduct and performance of employees supervised, work productivity, cost efficiency, and safety.

CESPD-HR-R

SUBJECT: Supervisory Probationary Period for (NAME OF EMPLOYEE)

c. Positions whose duties entail access to classified information will have objectives/tasks that address the proper handling and protection of classified information. Specific criteria for items a through c are identified in AR 690-400, Chapter 430, Paragraph 2-5a.

d. The responsibility for internal controls must be in the objectives/tasks of all responsible official's plans. The extent of this element will vary depending on the level of the supervisor and the responsibility involved. Further guidance on internal controls is located in CESPD-DE, 19 Apr 91 letter, subject: Performance Plan Requirements for Internal Controls.

4. Training requirements to develop the probationary supervisor's knowledge, skills and abilities are determined in AR 690-400, Chapter 410. Training needs for (NAME OF EMPLOYEE) are currently being reviewed and information relative to those needs will be provided to you by your servicing Employee Development Specialist. It is important that you ensure attendance at identified training courses. You may contact the Training & Development Division, at (916) 557-5150 regarding training plans/courses.

5. Employees must be observed and rated during their supervisory/managerial probationary period to determine whether or not they have the qualities needed to perform the new duties. After a reasonable trial period, if the employee does not meet performance standards for all job elements related to the supervisory/managerial duties, they must be returned to a nonsupervisory/managerial position (FPM Chapter 314, Subchapter 9). Such action is not appealable to the Merit Systems Protection Board or under the Department of Army Grievance.

6. The performance rating during the probationary period will be rendered at the time that the normal annual rating cycle ends. Your decision to retain or remove the probationary employee will however, be made during the ninth month of the probationary period and certified on a computer generated product which will be provided to you. A fully successful or higher rating issued early during the probationary period (e.g. during the sixth month) does not necessarily preclude removing the employee under probationary procedures, if performance problems ensue during the remainder of the probationary period.

CESPD-HR-R

SUBJECT: Supervisory Probationary Period for (NAME OF EMPLOYEE)  
Procedures.

7. Any time during the probationary period that you have concern or questions relative to the employee's performance or conduct, please contact your servicing Employee Relations Specialist at (916) 557-5136 to discuss the matter. Such matters must be addressed early on, as timely action is significant.

8. Please provide a copy of the new performance plan for (NAME OF EMPLOYEE) to CESPd-HR-M by (DATE) for filing in the Employee Performance File.

PATRICIA L. ANDREWS  
Director, Human Resources

# SAMPLE MEMO \*\*\*\*\* SAMPLE MEMO

CESPD-HR-R (690-400)

MEMORANDUM THRU (SUPERVISOR OF NEW SUPERVISOR/MANAGER)

TO (NEW SUPERVISOR/MANAGER)

SUBJECT: Probationary Period for a Supervisory/Managerial Position

1. Congratulations on your recent selection to a supervisory position. Your role as a supervisor is an essential link between top management and our work force in accomplishing our mission requirements.

2. The Civil Service Reform Act (CSRA) of 1978, Public Law 95-454, requires that upon initial appointment to a supervisory or managerial position, an employee is required to complete a probationary period for reasons directly related to supervisory or managerial effectiveness. You are being given an initial appointment to a \_\_\_\_\_ position and your records do not indicate prior supervisory or managerial experience. You will be required to serve a one year probationary period beginning \_\_\_\_\_.

3. Your supervisor, with the concurrence of the next higher level manager, may terminate the probationary period at any time during the one year probation if it becomes clear that you lack the necessary aptitude or skills required in the position and that further training and experience will not provide the skills needed for full and effective performance within the probationary period. If your supervisor makes such a decision, you would be returned to a non-supervisory or non-managerial position equal in grade to that prior to your being placed in the supervisory or managerial position. An employee who is returned to a non-supervisory or managerial position is not entitled to grade or pay retention. An employee returned to his or her previous grade is entitled to the step of the grade previously held.

4. Your supervisor is required to provide you with written performance standards within 30 days of your initial appointment to this position. Performance discussions will be held at least quarterly during the probationary period in order to monitor and keep you informed of your progress.

CESPD-HR-R

SUBJECT: Probationary Period for a Supervisory/Managerial Position

5. Department of the Army has two core training courses that are mandatory for first-time supervisors:

- a. Phase I - Supervisory Development Correspondence Course: This course consists of the following modules: Management, delegation, performance management, recruiting and selecting, training and development, position management, and the work environment. Supervisors have one year to complete this correspondence course. Attached is a sample DA Form 145. A completed form should be mailed to the Training and Development Division, CESP-D-HR-D, Sacramento, for registration in this course. These forms are available through normal supply channels or from the Training and Development Division, (916) 557-5150.
- b. Phase II -- Leadership Education and Development Course (LEAD): This course is a 40-hour class conducted by in-house facilitators trained by the Center for Army Leadership. The course provides supervisors with competencies required to effectively lead people and manage teams. Topics include: Situation leadership, leadership defined, counseling skills, communication, group development theory, team building, motivation, conflict management, problem solving and decision making, values and ethics, and systems of theory. Classes are conducted throughout the year at various locations.

You will be contacted by a team member from the Training & Development Division to discuss/schedule required training and to assist in the development of your Individual Development Plan (IDP). If you have immediate questions regarding training issues, please feel free to contact them at (916) 557-5150.

6. My staff and I are here to provide any assistance you may need to help you succeed as a new supervisor. Once again, congratulations, and may you enjoy your new role as a supervisor.

Encl

PATRICIA L. ANDREWS  
Director, Human Resources

CF:

Training & Development Division (2 copies)

## **NON-COMPETITIVE PLACEMENT CONSIDERATION PROCESS SPD INTERNAL EMPLOYEES**

1. PURPOSE: This process outlines the policies and procedures to be followed in making noncompetitive personnel actions (e.g., merit promotion announcement application process not required) at the request of a South Pacific Division (SPD) employee in order to provide management with a ready source of candidates for vacancies.

2. Consideration for placement and evaluation of qualifications will be made on a fair and equitable basis, without regard to age, race, religion, color, lawful political or other affiliation, marital status, sex, national origin, nondisqualifying physical or mental handicap, membership or nonmembership in an employee organization of any other nonmerit reason. Handicapped employees who are able to perform efficiently the duties of the vacant position with reasonable accommodations will also be considered.

3. This procedure covers all permanent positions in the competitive service. The procedure is applicable to all permanent employees serviced by the SPD Directorate of Human Resources.

4. Referral of candidates under mandatory placement programs (e.g., DoD Priority Placement Program) shall precede any attempts to fill a position noncompetitively under this procedure

unless exceptions are permitted under other appropriate regulations.

5. Employees will submit requests for noncompetitive consideration as indicated in the merit promotion plan. The attached memorandums that were distributed on 10 May 1994 as reminders outline the process for each SPD district which take into consideration bargaining unit member requirements.

a. Requests will be retained for a period of six (6) months. After the six-month period, employees will have to resubmit for continued consideration.

b. Requests will be accepted on a continuous basis. If selected, employees will be contacted by the Directorate of Human Resources Staffing Division. Upon selection, the employee will be removed from future consideration for the position selected.

c. Requests which use general terms such as "any position for which qualified" or "any grade" will be returned for more specific information (e.g., organization, job titles, series, grade).

d. Requests submitted will be reviewed by the Directorate of Human Resources Staffing Division to determine eligibility for noncompetitive referral to include basic qualifications and any other appropriate requirements. If ineligible or not qualified, the employee will be notified in writing. Qualification determinations will be based on the employee's Official Personnel Folder (OPF) or the SF-171 in the case where the employee chooses to submit along with their request for consideration.

e. A ranking process will not be used for noncompetitive candidates. They will be referred separately to the selecting official.

f. A roster will be established, updated, and distributed to all Staffing Specialists to use during the recruitment process as another recruitment source.

6. Upon receipt of the SF-52, the non-competitive roster will be reviewed and employees may be referred for consideration prior to competitive announcement after discussion with selection official. If employee names from this source are not referred prior to a merit promotion announcement, they will be referred along with promotion eligibles when the announcement closes.

7. POC for additional information is the Chief, Staffing Division, (916) 557-6796.

REQUEST FOR NONCOMPETITIVE CONSIDERATION

NAME:	CURRENT TITLE, SRS, GRADE	POSITION/LOCATION REQUEST	TYPE OF ACTION REQ'D	COMMENT/REQ'D
ario Revilla	Civil Engineer, GS-0810-13 SPD-ED-TC	GS-0810-13, SPL duty station: Los Angeles	Reassignment	Qualified
eresa Wilt	Civil Engineer, GS-0810-11 SPL-ED	GS-0810-11, SPL-ED duty station: Los Angeles	Reassignment	Qualified
osalinda Santana	Staffing Asst, GS-203-07 SPD-HR-R	GS-0303-05, SPK-RE duty station: Sacramento	Change to Lower Grade	Qualified
olores Henderson	Appraiser, GS-1171-11 SPL-RE	GS-1170-11, SPL-RE duty station: Los Angeles	Reassignment	Qualified
ames Lloyd	Office Auto Clk, GS-326-04 SPD-HR-R	GS-203-05, SPD-HR duty station: Sacramento	Reassignment	Ineligible
hris Bammel	Civil Eng Tech, GS-802-06 SPD-ED-GL	GS-802-07, SPL-CO duty station: Highland, CA	Reassignment	Ineligible
icardo Gutierrez	Procurement Tech, (OA), GS-1106- 05, SPL-CO-GC	GS-303-05, SPL-CO-O duty station: Los Angeles	Reassignment	Qualified
usan Miller	Realty Specialist, GS-1170-12, SPK- RE-M	GS-1170-12, SPN-RE duty station: San Francisco	Reassignment	Qualified
aul Apodaca	Supv, Civ Eng, GS-0810-12 SPL-CO-SM	GS-0810-13, SPL-CO duty station: El Monte, CA	Repromotion	Qualified

xxx

MEMORANDUM FOR Chief, Staffing Division

SUBJECT: Request for Non-competitive Consideration

1. I request consideration for:

\_\_\_\_\_ Reassignment to a position outside my current directorate/division that is of the same grade.

\_\_\_\_\_ Change to a lower grade

\_\_\_\_\_ Promotion to highest grade previously held

2. I request noncompetitive consideration for the following position. I understand that I may request up to three positions and that I must be at least minimally qualified for each position in order to be considered.

	TITLE	SERIES	GRADE
a.	_____	_____	_____
b.	_____	_____	_____
c.	_____	_____	_____

\_\_\_\_\_  
Employee Signature, DATE

=====MEM  
MEMORANDUM FOR: (EMPLOYEE's NAME)

A qualifications review has been made of the positions to which you requested noncompetitive consideration. \_\_\_\_\_ Reassignment, \_\_\_\_\_ Change to lower grade, \_\_\_\_\_ Promotion to highest grade previously held. You will be considered for a six month period not to exceed (DATE). At the end of that period, should you wish

POSITION	QUAL
1. _____	_____ Qualified _____ Not Qualified
3. _____	_____ Qualified _____ Not Qualified

GUY BROWN  
Chief, Staffing Division

SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

**EMPLOYING THE DISABLED AMERICAN VETERAN (DAV)**

1. Objectives: The purpose of this program is to employ and advance disabled American veterans. This program may be useful when you need to fill a position quickly while also accomplishing affirmative employment.

2. Definition: A DAV is a veteran who is entitled to compensation under laws administered by the Veterans Administration, or a person who was discharged or released from active duty because of a service-connected disability. This program gives special emphasis to veterans with a disability rating of 30% or more.

3. Eligibility: Must meet all the below listed items.

a. Must be a disabled veteran who has a compensable service-connected disability of 30 percent or more;

b. Must have the disability documented by the Veteran's Administration;

c. Must meet the Office of Personnel Management (OPM) qualification standards for the position;

d. Must serve under any appropriate temporary authority scheduled to last at least 61 days;

e. May be converted noncompetitively to a career-conditional appointment at any time while serving under a temporary limited appointment of 61 days or more.

4. The Human Resources Office will provide guidance and assistance. Your point of contact for the Disabled Veteran Program is Ms. Mira Frazier, Personnel Staffing Specialist, (916) 557-6785.

January 17, 1995

SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

**VETERAN'S READJUSTMENT APPOINTMENT**

1. References: CFR Part 306 --  
Veteran's Readjustment Appointment.

2. A veterans readjustment appointment (VRA) is an excepted appointment made after April 8, 1970, to a position otherwise in the competitive service of eligible veteran's of the Vietnam and post-Vietnam era.

3. This process outlines the policy and procedures to be followed in making a veteran's readjustment appointment and converting a VRA to career conditional status.

4. Federal agencies have the responsibility to provide the maximum of employment and job advancement opportunities to eligible veteran's of the Vietnam and post-Vietnam era who are qualified for such employment and advancement.

5. The minimum area of consideration for advertised vacancies will be extended to include VRA eligibles as an alternate source of candidates unless the area of consideration is being restricted in accordance with the local merit promotion and internal placement plan.

6. Applications submitted by a VRA

Staffing Division to determine eligibility for a VRA appointment to include basic qualification standards as determined by the Office of Personnel Management. VRA eligibility is as follows:

a. Service for a period of more than 180 days active duty, all or part of which occurred after August 4, 1964, and have other than a dishonorable discharge.

b. Reserve and guard members who served for a period of less than 181 days active duty during Operation Desert Shield/Storm are excepted from the requirement to serve on active duty for a period of more than 180 days, as long as they meet the following three requirements.

(1) They were ordered to active duty under section 67(a), (d), or (g), 673, 673b or title 10. The remarks section of the member's DD214 should cite one of these sections as the basis for ordering the member to active duty;

(2) They served on active duty during a period of war or in a campaign or expedition for which a campaign badge is authorized; and

eligible, will be reviewed by the

(3) They were separated from this period of active service with other than

7. Those applicants who meet the VRA eligibility requirements will be

DA2600 in order of veterans' preference. The selecting official will

disabled veterans and others with veterans' preference over veteran's

8. A VRA selectee will be appointed to a two year excepted service

15 years of formal education, the supervisor is required to provide a

could include on-the-job assignments and/or classroom training. The

the Directorate of Human Resources

will provide assistance to you in the

Training and Development specialist may be reached at (916) 557-5150.

completion of the two year excepted service appointment, the supervisor

Directorate of Human Resources Staffing Division, requesting employee

service. This SF-50 must include a statement from the supervisor that all

10. After the employee is converted

completes one additional year of service, the employee attains career

# **SUPERVISOR's GUIDE TO MAKING SELECTIONS**

# SUPERVISOR'S GUIDE TO MAKING SELECTIONS

## TABLE OF CONTENTS

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### *SYNOPSIS OF THE TEN STEPS TO A SUCCESSFUL*

<i>REVIEW THE AFFIRMATIVE ACTION PLAN</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>iv</i>
<i>DEVELOP A SELECTION MATRIX</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>iv-ix</i>
<i>EVALUATE EACH CANDIDATE</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>ix</i>
<i>DECIDE IF AN INTERVIEW IS NEEDED OR DESIRED</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>ix</i>
<i>PREPARE FOR AND CONDUCT THE INTERVIEW</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>ix-x</i>
<i>CONTACT THE APPLICANT'S PRESENT SUPERVISOR</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>x-xi</i>
<i>COMPLETE THE EVALUATION OF EACH CANDIDATE</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>xi</i>
<i>MAKE A FINAL SELECTION</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>xi-xii</i>
<i>COUNSEL THE NONSELECTEES</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>xii-xiii</i>
<i>APPENDIX A -- SELECTION PITFALLS -- LESSONS LEARNED</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>xiv-xvi</i>
<i>APPENDIX B -- SCORING CRITERIA FOR SELECTION FACTORS</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>xvii-xviii</i>
<i>APPENDIX C -- SELECTION MATRIX</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>xix</i>
<i>APPENDIX D -- CONDUCTING PREHIRE INTERVIEWS</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>xx-xxiii</i>
<i>APPENDIX E</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>xxiv-xxvii</i>
<i>APPENDIX F -- GUIDELINES FOR DEVELOPING INTERVIEW QUESTIONS</i>	<i>&gt;&gt;&gt;&gt;&gt;</i>	<i>xxvii-xxx</i>

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## SYNOPSIS

### TEN STEPS TO A SUCCESSFUL SELECTION

1. Review Pertinent Documents such as the Job Description, Performance Plan and Crediting Plan for the job being filled.

2. Reviewing the Affirmative Action Plan, Figure I, to determine if the vacant position is one in a series and grade in an under-represented category. If so, race, sex, or national origin may be considered as one factor in the selection process.

3. Develop a Selection Matrix:

a. List the Knowledges, Skills and Abilities (KSA) from the Crediting Plan and determine if there are other important KSA's or other characteristics (dependability, motivation, etc.).

b. Use the following selection factors: experience, education and training, awards supervisory appraisals, responses to interview questions on KSA's and responses to interview questions on the other characteristics.

c. Develop scoring criteria for each factor.

4. Evaluate each candidate on the referral list against the selection factors except those factors related to interview questions.

2) Do not have questions which have only one right answer (i.e., "test" questions).

5. Decide if an Interview is Needed or Desired:

a. If one candidate stands way above the others as a result of your initial evaluation, there is no need to conduct an interview.

b. If you are able to make the selection without the use of a structured selection interview, you may still want to conduct a rehire interview. This type of interview is primarily an informal exchange of information and is not concerned with either basic eligibility or relative abilities of candidates.

c. If the evaluation of the candidates' experience, training, education, performance appraisals, and awards does not reveal a substantive distinction among the candidates, the structured selection interview is available as an additional measurement tool.

6. Prepare for and Conduct the Interview:

a. Write down your questions so you can ask the same questions of each applicant.

1) Develop questions related to each KSA and other characteristics.

c. State your reason for selection on the DA Form 600. An

3) Avoid questions which can be answered with a "yes" or "no".

4) Do not ask questions about the applicant's race, age, marital status, or arrangements for children.

b. Be prepared to explain the job and any special employment conditions (i.e., stability of employment, shift work, overtime requirements, travel, etc.).

c. Arrange for a private and comfortable interview location.

d. Conduct the interview in a professional manner.

e. At the conclusion of the interview do not tell the applicant he or she has been selected.

7. Contact the Applicant's Present Supervisors to verify information given in the application and in the interview.

8. Complete the Evaluation of Each Candidate using the selection matrix.

9. Make the Final Selection:

a. If an applicant declines the position, obtain a written declination.

b. Write out your reason for final selection so you can readily and easily explain it to anyone who asks.

appropriate statement is "The individual(s) identified above are considered to possess the knowledges, skills abilities and other characteristics necessary to perform the job successfully.

d. Route your selection through your chain-of-command to Staffing Division.

e. Do not notify the selectee or the nonselectee(s). Do not arrange a release date. Staffing Division will do both of these tasks.

10. When asked, Counsel the Nonselectees:

a. Explain the selection factors you used in your selection.

b. Provide your reasons for selection or provide your reason(s) for nonselection.

c. Counsel the applicant on what he or she could have done to have been more competitive on this referral.

NOTE: MERIT PROMOTION PLAN AND/OR UNION AGREEMENT: The Los Angeles District requires interviews for all internal candidates when referred for selection. It also requires interviews of all candidates if one person is interviewed.

## STEPS IN THE SELECTION PROCESS

1. REVIEW JOB DESCRIPTION, PERFORMANCE PLAN AND CREDITING PLAN: These are the three key documents to every position. Review them carefully to familiarize yourself with the key points to the job being filled.

2. REVIEW THE AFFIRMATIVE ACTION PLAN:

a. Check the Affirmative Action Plan (Figure I) to determine if the series and grade of your vacant position is an under represented category.

b. When the vacant position is identified in the Affirmative Action Plan as one in a series and grade in an under represented category, then race, sex or national origin may be considered as one factor in the selection process but not the sole or deciding factor. Any consideration of race, sex, or national origin must be a part of the selection official's total evaluation process and not be a tie breaker or points add-on.

3. DEVELOP A SELECTION MATRIX:

a. Development of a selection matrix is not mandatory. Use of a selection matrix will insure your selection is based on job related reasons, and conversely, is not based on discrimination against a protected group or based on other non-job related reasons. When asked to

explain your selection to your supervisor or to a non-selected applicant, the matrix provides you the basis for making an objective response.

b. Selection matrices are particularly helpful when there are several persons on the referral list.

c. The use of selection matrices, however, is not foolproof. Attached at Appendix A is a list of the common pitfalls that can and do occur in selection matrices. Please review this list so you can avoid these pitfalls.

d. When you decide to use a selection matrix, it is recommended that you develop the matrix prior to receipt of the referral list. This will insure your matrix is developed using objective criteria rather than based on your knowledge of the applicants.

e. List the Knowledges, Skills, Abilities and other Characteristics: The first step in developing a selection matrix is listing the knowledges, skills abilities and other characteristics (KSAO's) important to the position.

Generally the KSAO's that are listed in the Job Opportunity Announcement and used in the rating and ranking process are the most important ones. In addition, however, there may be other KSAO's important to your job such as depend-ability and reliability, ability to follow in developing your list, you may want to refer to the jobdescription, crediting plan, and performance plan related to the job you are filling.

f. List Selection Factors:

Based on total assessments of the KSAO's you have listed, you need to determine what selection factors you will use. In developing the factors, remember that the only information you will have to consider are from the applicant's application (which will include at a minimum a description of the applicant's experience and a performance appraisal), material in the employee's official personnel folder (if the applicant is an SPD employee), results of the structured selection interview (if such an interview is used), and discussion with the applicant's supervisor (if such a discussion is conducted). The following selection factors are typically the ones you will want to use:

1) Job Related

Experience: The decree of depth, breadth, variety and recency of experience related to KSAO's.

2) Job Related Training and Education:

Courses important to the KSAO's of the job (for example, completion correspondence courses on filling

philosophy degree would have little relationship to a Supply Clerk job.)

3) Job Related Awards and Derogatory Information: Letters of appreciation, suggestion awards, etc., which may reinforce high quality performance as they relate to the KSAO's you have identified.

4) Performance

Appraisals: The Civil Service Reform Act of 1978 requires that performance appraisals be used as a basis for promoting employees. One point is the merit promotion process where the performance appraisal can be used in the selection process. When using the performance appraisal, you should only use ratings on major job and critical elements which are related to the KSAO's you have identified. Thus a rating of Exceeded on an element for Typing would not be appropriate to use when making a selection for a Helper position.

5) Responses to

Interview Questions: If a structure selection interview is used, you should be able to gain an impression of the applicant on each of the knowledges, skills and abilities as they relate to the job.

would be important to a secretarial job but not to an Electronics Mechanic, WG-08, position). Post high school education related to the job being filled (for example, English and Speech courses could be an indicator of verbal and written communication skills, conversely, the attainment of a

6) Responses to Interview Questions Related to Other Characteristics: If a structured selection interview is used, you should be able to gain an impression of the applicant's "other characteristics," such as dependability and motivation. d. Developing Scoring Criteria: Next, you need to determine how you will score each of your selection factors. A one to five point range is suggested for each factor. Describe the 1, 3, and 5 point levels and use the 2 and 4 point levels when an applicant falls between points. As you develop your criteria you should keep the following things in mind:

1) The factor of Job Related Experience considers recency, breadth and depth of that experience.

a) Recency of experience may be a factor if you can thoroughly justify and document the major changes which have occurred to necessitate the recency requirement.

b) Depth refers to the degree of intensity of candidate's qualifying experience as it relates to the critical requirements of the position.

c) Breadth, on the

evaluate two types of experience: Technical experience and Supervisory experience. In this instance, you may want to average the points scored for each subfactor; thus, if a person received three points for technical experience and four points for supervisory experience the applicant would receive 3.5 points for the total factor of experience. Or you may want to award a possible 5 points for each subfactor, thus a person could get a total of 10 points for experience. If you pursue this latter scoring option, you should limit the number of subfactors to no more than three so that experience is not given undue weight in your matrix.

2) Job Related Training and Education: This factor considers those government classes as well as post high school education which are important to the KSAO's identified for this job.

a) Formal education should be considered only as it relates to the critical KSAO's of your position.

b) When considering government courses, you should not give one point or a half point for every course an applicant has attended. This can result in a

other hand, refers to the exposure of experience in other occupational areas which would enhance the applicant's overall performance in the position to be filled.

d) Some jobs require a variety of skills and knowledges for which a variety of experiences may be important for review. "Subfactoring" is therefore possible for the factor of job related experience. For example, for a supervisory job, you may want to

c) The "subfactoring" process that was discussed under job related experience is again possible here. For example, training and education could be divided into two subfactors: government training and post high school education.

3) Job Related Awards and Derogatory Information can only be considered if they are related to the position to be filled and if the information is fully documented.

a) Thus, you can only consider derogatory information if a letter has been issued to the applicant. You cannot consider counseling sessions which are registered on the 7B card.

b) Letters of appreciation or letters of recognition can only be used if they were given for performance that can be related to the job you are filling. Letters of appreciation for extracurricular activities can only be used when the information can be related to one of the KASO's for the position.

candidate getting a high number of points for this factor resulting in this factor having undue weight in the final selection.

documentation that can be found in the employee's OPF.

5) There are a couple of things to think about when developing the criteria for the factors related to response to interview questions.

a) These factors can be broken down into subfactors related to each KSAO identified. For example, if there is a KSAO concerning knowledge of supply related documents, you may ask several questions related to their knowledge of supply documents and come up with one point value for the answers on those questions. A similar process would be used for other questions related to other KSAO's.

b) For some positions, for example, second level supervisory positions, you may want to give more weight to the interview process than is normally done. For these positions, a knowledge of personnel management, union relations, EEO and Affirmative Action is important as well as oral

c) "Sub factoring" is again possible: one subfactor on awards and one subfactor on derogatory information.

4) Supervisory appraisal can again be "subfactored". It can be broken down into two subfactors: Annual Performance Appraisals and comments received verbally from the applicant's supervisor. Remember though that comments received from the supervisor must be backed up by 6) A sample format for your scoring criteria is at Appendix B. A sample format for the selection matrix is at Appendix C.

#### 4. EVALUATE EACH CANDIDATE:

Evaluate each candidate on the referral list against the selection factors except those factors related to responses to interview questions. Remember the only information you can use are the application, material in the employee's Official Personnel Folder (if SPD employee).

#### 5. DECIDE IF AN INTERVIEW IS NEEDED OR DESIRED:

a. If one candidate stands way above the others, there is no need to conduct an interview.

b. If you are able to make the selection without the use of a structured selection interview, you may still want to conduct a pre-hire interview. This type of interview is primarily an informal exchange of information and cannot be used as a basis for selection. A prehire interview

communication ability. In these instances, it is recommended that the interview process should be awarded a point value that is no more than half of the possible total point value on your matrix. Thus, if the total points possible on your matrix is 40, the interview process should have a possible point value of no more than 20.

measurement tool. This interview can be used to make further qualitative differences among the candidates or to measure a knowledge, skill, ability, or other characteristic that could not be measured by the crediting plan. When used properly, and in conjunction with other selection instruments, the interview can be a reliable method to predict successful performance on the job.

#### 6. PREPARE FOR AND CONDUCT THE INTERVIEW:

a. The pre-hire interview should be conducted following the guidance in Appendix D.

b. The structure selection interview should be conducted following the guidance in Appendix E. If a structure selection interview is used, you can then include the factors related to "responses to interview questions" in your Selection Matrix.

c. Generally, if you interview one candidate you must interview all the candidates on the referral list. The

can also be used if you have been referred a candidate who wants a reassignment, and you feel the person would do an excellent job based on your matrix, but you want to insure the employee fully understands the requirements of the job.

c. If the evaluation of the candidates' experience, training and education, performance appraisal, and awards, does not reveal a substantive distinction among the candidates, the structured selection interview is available as an additional

2) An interview (telephonic or in person) is not required if an applicant is not available for the interview.

3) If a supervisor receives multiple referral lists (for example, a list for each grade level for an Upward Mobility position), the supervisor may decide from which list to make a selection and may interview only those applicant's on that list.

4) If a supervisor is given a subsequent referral list with many of the same names and is using the same Selection matrix and interview questions, he/she need not interview applicants that he/she has interviewed within the past 1 months.

#### 7. CONTACT APPLICANT'S PRESENT SUPERVISORS:

a. If you do not presently supervise some of the applicants, it is strongly encouraged that you contact the applicant's current supervisor. This is particularly helpful to verify each applicant's dependability, motivation, ability to learn, and other

following general exceptions apply:

1) When interviews are used, every attempt will be made to interview all Best Qualified candidates. Candidates who are clearly not competitive for the vacancy need not be interviewed.

employee has a bad leave record and even has counseled the employee with a memo for record, you cannot use the information unless there is a leave usage warning letter.

8. COMPLETE THE EVALUATION OF EACH CANDIDATE: Return to your selection matrix and make an evaluation of the interview responses.

#### 9. MAKE A FINAL SELECTION:

a. Once all the interviews are completed, you are faced with selecting an applicant for the position.

1) When making a decision, the 30b requirements should always be kept in mind.

2) No matter how socially desirable or undesirable a personal trait may be, it is of no significance unless it will affect the job performance.

3) Evaluate the whole person in relation to total job

characteristics you may be measuring.

b. If you contact the supervisor of one applicant, you should contact the supervisor of all the applicants although there is nothing that requires this. It is also recommended that you ask the same questions of each supervisor, just as you do in the interview process with each applicant.

c. You may use the information obtained in this step in your evaluation of the factor of "supervisory appraisal".

Any derogatory information that is used, however, must be documented.

For example, if a supervisor says the  
2) avoids cost of replacing the employee who can't do the work;

3) avoids cost of replacing an employee who leaves for another job unexpectedly;

4) reduces likelihood of the new employee having a disruptive effect on production of other employees;

5) makes the total job of supervision easier.

c. Remember, when the vacant position is identified in an approved affirmative action plan or a FEORP plan, as one in a series and grade in an under represented category, then race, sex, or national origin may be considered as one factor in the selection process, but not the sole or deciding factor. Any consideration of race, sex, or national origin must be a part of the selecting official's total evaluation process and not be a tie breaker or points add-on.

performance. People have a way of compensating for their weaknesses by strengths in other areas.

b. Selecting the right person is important to you because it:

1) reduces the time required to bring the new employee to full production;

appropriate statement is: "The individual(s) identified above are considered to possess the knowledges, skills, abilities, and other characteristics (KSAO) necessary to perform the job successfully." If the position being filled is a supervisory position, you must add the statement "the selectee fully supports the EEO program."

g. Depending on your directorate's policies, you will route the selection package through the appropriate supervisory channels to the Staffing Division.

h. Any forms that you devise and retain will become part of the official selection record, and may be subject to disclosure. All records must be able to withstand scrutiny for possible bias, pre-selection, and demonstrated relationship to valid job-related criteria. Retain your interview questions, selection matrix, and other material used for three months

d. You should make the final selection based upon the data derived from the comparative analysis.

e. Write down a statement for your own use so that you can orally provide each applicant who was not selected the reasons for selection or nonselection and what the nonselected employee could have done to be more competitive. This will help clarify in your own mind the reasons for selection and for nonselection.

f. Your reasons for selection must be provided on the appropriate referral and selection register. An

j. If an employee asks the reason for nonselection, he/she will be referred to you.10. COUNSEL THE NONSELECTEES:

a. You must be prepared to provide the nonselectees reasons for your selection. you should write down your reasons so you will not be caught off guard when not if, you are asked. When approached by nonselectees requesting information about their nonselection, schedule an appointment with them individually and review the selection material before the appointment.

b. There are two ways to answer a nonselectee's question "why didn't you select me?"

1) You can explain the selection factors you considered in your selection and describe how the candidate you selected met these

following the selection.

i. Staffing Division has the responsibility for notifying both the selectee and the nonselectees. Staffing also arranges the release date. Since a release date is often affected by processing time factors, the selecting supervisor must not arrange a release date with the losing supervisor.

2) Or you can explain the selection factors you considered in your selection and describe where the applicant was rated in relation to the selection factors. Generally this is going to emphasize the negative aspects of your selection as you will be telling the applicant where he or she was weak.

c. It is often helpful to explain to the employee what he or she could have done to have been more competitive on this particular referral.

(Note the current referral since next time there may be different selection factors used and different personnel on the referral).

factors. This method accentuates the positive side of your selection.

# APPENDIX A

## SELECTION PITFALLS -- LESSONS LEARNED

As selecting supervisors, you should be aware that you have a potential EEO complaint or grievance from each person not selected.

For this reason, the use of the selection matrix has increased dramatically. This trend has significantly improved the supervisor's ability to articulate legitimate, nondiscriminatory reasons for his or her selection. Having your rationale for selection in writing and in an organized matrix is a definite improvement over trying to reconstruct the selection from memory months after the action was taken.

Errors still occur however. The following describes some of the more common ones:

1. Addition Mistakes: Please check and double check your addition. You would be surprised how many matrices have addition mistakes.

2. Formal Education: The use of formal education as a selection criteria may not be appropriate for all positions. Formal education should be considered only as it relates to the knowledges, skills, abilities, and other characteristics important to this position. A selectee with a BA degree in Business for a secretarial position might be nice to have but will you be able to justify the job relatedness of

this requirement?

3. Awards: Limiting points for awards to those received during the last two years is difficult to justify especially considering the application may ask employees to list awards for another period of time. Also be aware that some employees do not follow instructions in filling out the application and list all awards they have received. Whatever you do consider awards for all applicants for the same period and as they relate to your job.

4. Training Courses: Be careful of giving one point for every course as this might result in this matrix criteria having undue weight in the final selection.

5. Scoring Criteria: Make sure your matrix scoring criteria is consistent with the points assigned to each applicant on your matrix. There have been a number of matrices where the selecting supervisor had written matrix scoring criteria which he or she then did not follow in assigning points on the matrix. Since you develop the matrix scoring criteria and assign points to the matrix, it is up to you to document any changes. Another problem encountered in this area is not writing down all of the matrix scoring criteria, so consequently, when reviewing the matrix, one is unable to reconstruct your selection.

6. Point Ranges: Develop maximum points for matrix categories. A one to five point range is suggested for each criteria. Be consistent -- matrices in which one category has a 10 point maximum while another has a five point maximum might put undue weight on one category. This might be your intention and as long as it is justified, there will be no problem.

7. Selection Interviews:

a) If you conduct structured interviews, ask questions which will obtain specific information about the candidate's qualifications. We have seen situations in which only one question was asked such as "is there anything you want to add?" How would you evaluate a candidate's answer to such a question?

b) This brings up another problem area with interviews -- you should be aware before you ask the

As selecting supervisors, you may be approached by nonselectees who have questions about the selection you made. EEO complaints have resulted from the following situations:

a) A selecting supervisor responded to the nonselectee's questions without reviewing the selection material and therefore gave erroneous and incomplete information.

b) A selecting supervisor avoided the non-selectee requesting information.

c) A selecting supervisor referred the nonselectee to someone else.

d) A selecting supervisor gave very little information. As selecting supervisor, you must be prepared to provide nonselectees reasons for your selection. You should write down your reasons so you will not be caught off-guard when, not if, you are asked. When approached by someone requesting information about their nonselection, schedule an appointment with them and review the selection material before the appointment. In responding to nonselectee's inquiries, avoid general answers such as "I selected the best qualified." You can instead explain the selection and describe where the nonselectee rated in relation to the selection factors or describe how the candidate you selected met the selection factors.

questions what answer you are looking for, otherwise, you will not be consistent in evaluating all candidates. Also, ask the same questions of all candidates; be consistent.

8. Matrix Categories: If you decide to give more weight to the interview process than the other matrix categories, be able to relate this to the job requirements. For example, if oral communication is the most important KSAO identified for the position, you might consider giving the interview more weight.

9. Communicating Bad News:

## APPENDIX B

### SCORING CRITERIA FOR SELECTION FACTORS

1. Job related experience:

a. 5-Points: Exceptional experience as evidenced by the following breadth, depth and recency of experience.

b. 3-Points: Highly successful experience as evidenced by the following breadth, depth and recency of experience.

c. 1-Point: Fully successful experience as indicated by the following:

2. Job related Training and Education:

a. 5-Points: Exceptional

suggestion awards.

b. 3-Points: Highly successful awards as indicated by SSPA.

c. 1-Point: Fully successful awards as indicated by job related suggestion awards or by two or more job related letters of appreciation.

d. Minus 1-Point: A recent sick leave usage warning letter.

e. Minus 2-Points: A recent letter of reprimand.

f. Minus 3-Points: A recent suspension.

4. Supervisory Appraisal:

training and education as indicated by completion of the following courses.

b. 3-Points: Highly successful training as indicated by completion of the following courses.

c. 1-Point: Fully successful training and education as indicated by completion of the following courses.

3. Job related awards and derogatory information:

a. 5-Points: Exceptional awards as indicated by SSPA and by either two or more recent (i.e., within past three years) job related letters of appreciation or recent job related

c. 1-Point: A "met" rating on the most recent GPAS on major job or critical elements that are related to KSAO's for the vacant position and average ratings on the supplemental experience statement.

5. Responses to Knowledge, Skill and Ability (KSA) Questions:

a. 5-Points: Responses to questions indicate an exceptional knowledge, ability and skill required for the position, for example:

b. 3-Points: Responses to questions indicate a highly successful knowledge, ability and skill required for the position, for example:

c. 1-Point: Responses to questions indicate a fully successful knowledge, ability and skill required for the position, for example:

a. 5-Points: An "exceeded" rating on the most recent GPAS on 3 or more major job or critical elements that are related to KSAO's for the position to be filled and mostly exceptional rating on the supplemental experience statement.

b. 3-Points: An "exceeded" rating on the most recent GPAS 1 to 2 major job or critical elements that are related to the KSAO's for the position to be filled and mostly above average ratings on the supplemental experience.

6. Responses to "Other Characteristics" questions:

a. 5-Points: Responses to questions indicate an exceptional knowledge, ability and skill required for the position, for example:

b. 3-Points: Responses to questions indicate a highly successful knowledge, ability and skill required for the position, for example:

c. 1-Point: Responses to questions indicate a fully successful knowledge, ability and skill required for the position, for example:

## APPENDIX C

### SELECTION MATRIX

TITLE	SERIES/GRADE	ORGANIZATION	LOCATION	DATE				
1	2	3	4	5	6	7	8	9
Candidates Name	Job Related Experience	Job Related Education & Training	Job Related Awards & Derogatory Information	Supervisory Appraisal	Responses to KSA Questions	Responses to Other Characteristic Questions	Total Score	Final Rank

NOTE: Scores in Columns 2, 3, 4 & 5 are based on a review of the employee's resume, OF 61, Optional Application for Federal Employment or SF-171, current performance appraisal and OPF, and a discussion with the employee's present supervisor. Scores in column 6 & 7 are based on interviews with the employee.

## APPENDIX D

### CONDUCTING PREHIRE INTERVIEWS

The PREHIRE INTERVIEW is an informal exchange of information and generally is not concerned with either basic eligibility or relative abilities of candidates. You may want to use this type of interview when you make a selection based on the record alone, however, because many of the candidates are not SPD employees, you may want to ensure the candidates understand the requirements of the job.

#### **FUNCTIONS OF THE PREHIRE INTERVIEW**

1. The prehire interview has two functions:

a. To impart and elicit information regarding the job and the candidate.

b. To gain the overall impression of a candidate that selecting supervisors usually want before making a final selection decision.

2. Remember that the interview must be designed and used to preclude discrimination.

#### **PREPARATION OF INTERVIEW QUESTIONS**

1. Develop a few questions related to the job and the candidate. Attached at Appendix E are guidelines for

questions should normally be very general such as "what courses did you enjoy most in high school?" or "What did you like most about your job?" You may also ask questions regarding the candidate's motivation and dependability.

2. Write down your questions to assure that all candidates are asked essentially the same questions. It is important to standardize the interview for all candidates. In the event of any subsequent complaints of improper selection, it will be important for you to know the questions asked, and to be able to explain how they related to the position.

3. Review your questions to ensure they are confirmed to verification of the applicant's job related qualifications.

#### **PREPARATION FOR OTHER ASPECTS OF THE INTERVIEW**

1. Be prepared to explain any special employment conditions, organization rules, or job requirements (i.e., shift work or overtime requirements, travel, performance standards, special demands caused by frequent short suspense actions, etc.).

developing interview questions. Your  
2. Review the application before the interview. This saves both time and mental effort during the interview. Note key points on which information is needed.  
3. Arrange a suitable setting for the interview. The interview areas should be not only comfortable and private, but free from interruptions.

## **CONDUCT DURING THE INTERVIEW**

The interview should be conducted in a business like manner and be confined to pertinent subjects. Do not flirt or joke. Avoid references to and consideration of any bias. Try to develop or at least assume a stance of being definitely interested in what the applicant is saying.

## **THE INTERVIEW SEQUENCE**

1. Regardless of the length of the interview, there is definite sequence or flow to the ideas discussed. This sequence not only helps you to organize and use time efficiently, but it facilitates the orderly achievement of interview objectives. The suggested sequence is:

- a. Establish rapport;
- b. Furnish information;
- c. Obtain information; and
- d. Conclude the interview.

2. **ESTABLISH RAPPORT:** Since most people going into an interview experience some uneasiness, it is necessary for the interviewer to create a friendly but businesslike atmosphere

seated, give the applicant a chance to relax and become acclimated.

3. **GIVE INFORMATION:** It is often helpful to then provide the applicant information about the job and the organization. In a prehire interview this will take most of the interview time:

a. First, describe the organization and its policies; then describe the job under consideration, the duties, qualifications, promotional opportunities, and any required travel, shift or overtime work. Inform the applicant of stability of employment. Finally, tell the applicant about details of your selection process. It is often helpful to inform the applicant how many positions are vacant and how many applicants are being considered.

b. In giving information, the main objective is to give the applicant facts necessary to help make a decision. Help the applicant further evaluate the situation by answering any additional questions he or she might have.

c. **Note:** Don't oversell the job.

4. **OBTAIN INFORMATION:**

a. Ask each of the questions you have developed.

so that applicants will be encouraged to talk. Greet the applicant in a warm and sincere manner. Welcome the applicant by name, shake hands, and introduce yourself. Once you are both

b. In responding to the applicant's responses, use comments or actions which indicate the understanding and will encourage the applicant to continue speaking, such as "I see," "That's interesting," and "Yes, I understand." Equally effective are such things as a nod of the head or a smile.

5. CONCLUDE THE INTERVIEW:

Once you are sure the applicant understands the job requirements and personnel policies, it is time to bring the interview to a close.

a. Terminate the interview with a brief summary of what has been discussed. Ask if he/she has any additional questions and/or comments.

b. Do not tell the applicant he/she will be selected. Do not let the applicant leave with the impression he/she will be selected.

c. Be sure to leave the applicant with the impression of being treated fairly. This one interview may determine the applicant's opinion of your organization, the Corps of Engineers, the Army, and the Government.

d. In any event, when the interview has been concluded, the applicant should know what action will take place next and thanked for his or her time and interest.

## APPENDIX E

**CONDUCTING STRUCTURED SELECTION INTERVIEWS:** If the evaluation of candidates' experience, training, education, performance appraisals and awards does not reveal a substantive distinction among the candidates the structured selection interview is available as an additional measurement tool.

### **FUNCTIONS OF THE STRUCTURED SELECTION INTERVIEW:**

1. The structured selection interview has two functions:
  - a. It enables applicants to give information about themselves, thus satisfying the interview that the applicant will (or will not) meet the requirements of the position.
  - b. It also gives the applicant essential information about the job.
2. Remember that the interview, like all selection procedures, must be designed and used to preclude discrimination. The employment interview must be objectively tailored to measure relevant job qualification requirements.
3. The interview is only one of many sources of information and cannot be used as the sole determining factor in selection.

### **PREPARATION OF INTERVIEW QUESTIONS**

1. Develop a Selection Matrix as described in the "Supervisor's Guide to Making Selections."
2. Develop questions related to each KSA (knowledge, skill, ability and other characteristics). The task of the selecting supervisor is to verify that the candidates have the skill, knowledge, abilities and other characteristics necessary to perform the critical tasks of your job. The best way to do this is to design a series of question which will obtain specific information about the candidate's qualifications. (Attached at appendix F are guideline for developing interview questions.
3. Write down your questions to assure that all candidates are asked essentially the same questions. It is important to standardize the interview for all candidates. In the event of any subsequent complaints of improper selection, it will be important for you to know the questions asked, and to be able to explain how they related to the position.
4. Review your question to ensure they are confined to verification of the applicant's job related qualifications.

### **PREPARATION FOR OTHER ASPECTS OF THE INTERVIEW**

1. Be prepared to explain any special employment conditions, organization rules, or job requirements (i.e., shift works or overtime requirements, travel performance standards, special demands caused by frequent short suspense actions, etc.).

2. Review the applicant before the interview. This saves both time and mental effort during the interview. Note key points on which information is needed.

3. Arrange a suitable setting for the interview. The interview area should be not only comfortable and private, but free from interruptions.

4. Decide whether or not you will take notes during the interview. If you decide to take notes you should be at a table or desk so you can take notes comfortably. Taking notes during the course of the interview is necessary in most cases to insure accuracy of the information gathered. Skill interviewers learn to record their findings without diverting their attention from the candidate or breaking eye contact for more than a few seconds at a time. This places the note taking function in its proper perspective, as seemingly minor aspect of the interview.

5. Decide if you want a third person (preferably, another supervisor) present as a "witness" to the interview process.

and be confined to pertinent subjects. Do not flirt or joke. Avoid reference to and consideration of any bias. Try to develop, or at least assume a stance of being definitely interested in what the applicant is saying.

## **THE INTERVIEW SEQUENCE**

1. Regardless of the length of the interview, there is a definite sequence or flow to the ideas discussed. This sequence not only helps you to organize and use time efficiently, but facilitates the orderly achievement of interview objectives. The suggested sequence is:

- a. Establish rapport;
- b. Furnish information;
- c. Obtain information; and
- d. Conclude the interview.

2. **ESTABLISH RAPPORT:** Since most people going into an interview experience some uneasiness, it is necessary for the interview to create a friendly but businesslike atmosphere so that applicants will be encouraged to talk. Greet the applicant in a warm and sincere manner. Welcome the applicant by name, shake hands, and introduce yourself. Once you are both seated, give the applicant a chance to relax and become acclimated.

3. **GIVE INFORMATION:** It is often helpful to then provide the applicant information about the job and the organization. In a rehire interview this will take most of the total interview time:

## **CONDUCT DURING THE**

**INTERVIEW:** The interview should be conducted in a businesslike manner

a. First, describe the organization and its policies, then describe the job under consideration -- the duties, qualifications promotional opportunities, and any required travel, shift or overtime work. Inform the applicant of stability of employment. Finally, tell the applicant the details of your selection process. It is often helpful to inform the applicant how many positions are vacant and how many applicants are being considered.

b. In giving information, the main objective is to give the applicant facts necessary to help make a decision. Help the applicant further evaluate the situation by answering any additional questions he or she might have.

c. NOTE: Don't oversell the job.

4. OBTAIN INFORMATION: In most interviews, information-seeking will take most of the total interview time. The interviewer seeks desired information by building questions on the applicants responses and general remarks. Thus, to be effective the interviewer must be a good listener. If the introductory conversation goes well, the applicant will be talking freely. Subjects pertinent to the interview should not be brought up. Try to develop or at least assume a stance of being definitely interested in

applicant's responses, use comments or actions which indicate understanding and will encourage the applicant to continue speaking, such as "I see," "Uh-Huh," "That's interesting," and "Yes, I understand." Equally effective are such things as a nod of the head or a smile.

## 5. CONCLUDE THE INTERVIEW:

Once you have a clear idea of the applicant's basic strengths and limitations for the job under consideration, and the applicant understands the job requirements and personnel policies, it is time to bring the interview to a close.

a. Terminate the interview with a brief summary of what has been discussed. Ask if he/she has any additional questions and/or comments.

b. Do not tell the applicant he/she will be selected. Do not let the applicant leave with the impression he/she will be selected.

c. Be sure to leave the applicant with the impression of being treated fairly. This one interview may determine the applicant's opinion of the organization, the installation, the Army and the Government.

what the applicant is saying.

a. Ask each of the questions you have developed.

b. In responding to the

d. In any event, when the interview has been concluded, the applicant should know what action will be taking place next and thanked for his or her time and interest.

## APPENDIX F

### GUIDELINES FOR DEVELOPING INTERVIEW QUESTIONS

1. Avoid the following types of questions:

a. Questions which suggest the "proper" answer to the applicant, such as "That was a boring job, wasn't it?"

b. Questions or comments that are nonneutral and reveal your attitudes, such as "That's a good reason to change jobs."

c. Questions with only one right answer.

d. Multiple choice questions.

e. Questions that require the applicant to look at a diagram, symbol, schematic, etc.

f. Questions that can be answered with only a "yes" or "no".

g. Questions about marital

a. Questions that will assist the applicant in expressing ideas and feelings in a frank and honest manner.

b. Questions which follow-up on key thoughts (i.e., ideas, opinions, or experiences expressed by which appeared to the interviewer to have an important bearing upon the matter under discussion).

c. Questions which require a more elaborate response than merely a "yes" or "no".

3. Questions not related to the job are inappropriate and can be a basis for grievances or discrimination complaints.

4. Some of your questions may be directed at assessing a candidate's abilities and other characteristics such as dependability and motivation. Some sample questions for these

plans or status, spouse's occupation, children and arrangements for care of children.

h. Questions about the applicant's race, age, political affiliation, or religious beliefs.

i. Questions which are different for male and female applicants.

2. Ask the following types of questions:

2) If I define unscheduled annual leave as leave used with less than 4 hours notice to your supervisor, how often have you used unscheduled annual leave in the past years?

3) How much sick leave have you used in the past years?

4) Do you complete your job assignments early, on time or late? Why?

b. Ability to follow instructions:  
Ask the employee questions such as:

1) What would you do if your leader/supervisor asked you to do something that you didn't want to?

2) What would you do if your leader/supervisor gave you instructions that you did not understand?

3) Our section/branch/division has a policy/procedure of How do you feel about this policy? Do you see any problems

abilities and other characteristics are as follows:

a. Dependability/ reliability:  
Ask the employee questions such as:

1) Have you been late to work within the last six months? If so, how often, how late, and for what reasons?

2) Are you available to work paid overtime as needed?

3) What is your responsibility to the Corp Safety Program?

4) If you thought your supervisor had treated you fairly, what would you do?

d. Motivation: Ask the employee questions such as:

1) What would you do if you ran out of work to do?

2) What would you do if another employee told you to slow down and not work so fast because it would make the rest of the employees look bad?

3) What would you do if you were uncertain about how to perform a particular task/choice/project?

4) What have you done to improve yourself and why have you

with it?

c. Cooperativeness: Ask  
the employee questions such as:

1) How would you feel  
about working out of your job  
description for short periods of time  
(less than 30 days) if requested to do  
so?

done so?

5) Why do you feel you  
should be selected for the job?

SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

**EMPLOYING THE PHYSICALLY HANDICAPPED**

1. Objectives: Many physically disabled individuals find employment through the normal competitive procedures in the same manner as the nonhandicapped. However, physical impairments sometimes make it impossible for disabled people to obtain employment. Therefore, the purpose of this program is to provide job opportunities for physically disabled people.

2. Policy: South Pacific Division personnel will support the employment of severely handicapped individuals.

3. Definitions: A physically handicapped person is defined as one who:

a. Has a physical impairment which limits one or more of their major life activities.

b. Has a record of such an impairment.

c. Is regarded as having such an impairment.

4. Eligibility:

a. The applicant or employee must have a severe handicap which is relatively permanent and seldom fully correctable by medical replacement, therapy, or surgical means.

b. A handicapped person is considered to meet Office of Personnel Management's (OPM) qualifications for a handicapped appointment when an appropriate certification is received from a counselor or either the Veterans Administration or a State Vocational Rehabilitation agency. The certification will be based on knowledge of the job requirements and jobsite by the counselor and will relate to a specific position or;

c. The agency may apply OPM's minimum qualification standards for the position concerned.

5. Procedures:

a. The South Pacific Division (SPD) Selective Placement Coordinator will contact the State Vocational Rehabilitation agency and advise them of a potential placement opportunity (e.g. recruit 5 job title, series, grade, location and qualifications.

b. A job description will be reviewed by the State Vocational Rehabilitation agency to determine if the applicant can successfully perform the duties of the position.

c. If it appears one or more persons may qualify for the position a counselor from the State Vocational Rehabilitation will conduct a job-site visit to determine if any jobsite modifications are required.

d. After the on-site visit together with the SPD Selective Placement Coordinator and Supervisor the State Vocational Rehabilitation will certify in their judgement the applicant has the ability to perform the duties of the position and is physically qualified to do the work without hazard to himself/ herself or others.

e. The Supervisor and SPD Selective Placement Coordinator will review and make a final decision as to whether or not to make a job offer (e.g. number of hours, type of appointment, etc.)

## 6. Appointments:

a. Temporary 700 hour appointment: Many physically disabled people are unable to obtain appointment even with examination modifications. A 700 hour trial appointment provides the disabled with an opportunity to prove their competence at a specific job. This type of appointment also helps employers overcome their preconceived notions that the physically disabled will not be able to perform the job efficiently or safely, or that this person would not be accepted by the work force. The employer makes no commitment to permanent employment; however, the limited appointment is usually long enough

necessary for the agency to set up a special temporary position in order to utilize this procedure. Appointment may be made to a regular continuing position as long as employment does not exceed 700 hours during a consecutive 1-month period.

b. The handicapped appointment authority was developed to provide an alternate route for employment of severely physically handicapped individuals. This includes identification and, if required, restructuring or modification of job tasks and the work environment of a specific position to accommodate the severely physically disabled individual. Mira Frazier your (HR) Selective Placement Coordinator will work closely with you to accomplish the successful placement of handicapped individuals. There are two ways a disabled person may be given an excepted appointment:

1) Conversion of the proposed appointee's temporary trial appointment to a Schedule A appointment; or

2) A direct Schedule A appointment without a prior temporary trial appointment.

c. Some severely handicapped persons may have competitive eligibility and/or their past work history may show steady employment. However, the excepted appointment may be the only avenue open to them

(approximately 4 months) for the severely handicapped person to establish their job readiness. It is not for Federal employment. For this reason, the HR Selective Placement Coordinator will thoroughly review each case.

7. Conversion to Competitive Status:

a. Physically handicapped employees serving on a Schedule A appointment may be converted to competitive status after years of successful performance. This two year period:

1) Must be current and substantially continuous. (Breaks of 30 calendar days or less do not interrupt substantially continuous service.)

2) Does not include a 700-hour trial appointment. retention in the position; however, there should be substantial justification for not recommending conversion of an employee who meets the minimum service requirement and who has demonstrated successful job performance.

b. Employees with three or more calendar years of service may be converted to career tenure. Service is counted as follows: Full-time and part-time employment is counted from the date of appointment to the excepted appointment, regardless of hours worked, on a calendar year basis. Intermittent employment is computed on the basis of 1 day's credit for each day in a pay status. This provides employees who perform successfully the full benefits of civil service employment status.

c. Conversion of employees who meet these requirements will be based upon supervisory recommendation. Conversion is not mandatory for

1 January 1995

SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

**DoD PRIORITY PLACEMENT PROGRAM (PPP)**

1. The Priority Placement Program (PPP) is a highly effective and highly regarded program operated by the Department of Defense (DoD). The PPP is used world wide throughout DoD as a referral program to provide placement opportunities for employees adversely affected by base closure and reduction-in-force (RIF). This program came in existence under the leadership of Mr. Robert McNamara who was Secretary of Defense when a significant number of bases were closed in the mid-1960s. All secretaries of Defense since Mr. McNamara have endorsed the DoD/PPP as an effective means to minimize the adverse impact on employees hit by RIF.

2. Since its inception, the PPP has been supported by each Division Engineer of the South Pacific Division. Attached is a copy of the most recent Division Engineer's Statement of Support.

3. Employees whose jobs are

eliminated, are given priority rights to other vacant positions in the DoD. Employees demoted who are entitled to grade retention following a change in position or reclassification will be given priority rights to other DoD commuting area vacant positions in grades which are equal to their retained grades. Employees whose jobs are eliminated are also given assistance in locating jobs in private industry if they so desire.

4. The DoD Program for Stability of Civilian Employment and PPP provide the principle mechanisms for placing affected employees. Affected employees are registered in a computerized system that is operated in Dayton, Ohio by the DoD Data Support Center. The skills of displaced employees are then matched with vacant positions at other DoD activities at which the employees are willing to work. This job match is accomplished through a computerized system.

# DoD PRIORITY PLACEMENT PROGRAM (PPP) Supervisor's Handbook

## QUESTIONS AND ANSWERS

### 1. HOW DOES IT WORK?

Employees who are affected by RIF and those who decline to accompany their function that has been transferred to another computing area are registered in a computerized system that is operated in Dayton, Ohio by the DoD Data Support Center. Employees are registered for series and grade for which they are fully qualified.

### 2. HOW ARE EMPLOYEES REFERRED FOR PLACEMENT UNDER PPP?

Employees are referred for placement with a numeric priority (1 through 3). The priority is assigned based on the severity of the employee's proposed personnel action. For example, an employee facing RIF-separation is assigned a Priority 1 while an employee with a RIF offer of a change to lower grade, one grade below the current grade held is assigned to Priority 3. The assigned Priority then dictates what type of recruitment actions are "stopped" when a PPP match occurs.

### 3. HOW DOES THIS AFFECT MY VACANCIES?

All positions in the Competitive and Excepted Service at grades GS-12 through GS-15, all Federal Wage System grades and all special pay systems are subject to the PPP clearance unless specifically exempt. There are also distinctions between the filling of permanent positions and the filling of temporary or term positions. There are approximately 36 exceptions to PPP. Career Ladder Promotions, Details NTE 90 days, Promotions resulting from an employee's position being classified at a higher grade because of additional duties and responsibilities, placement of a graduating intern, are a few of the actions that are exceptions. When a SF-52 is received in

### 6. WHAT DO I GET TO SEE?

Staffing Division, a requisition (this includes the series, grade and location of the position) is entered into an automated system. The automated system is continually matching on a daily basis. This "matching process" terminates when a position is committed or an in-service referral list is issued to the selecting official.

### 4. WHAT IF THE VACANCY IS NO GOOD, OR WAS SUBMITTED IN ERROR?

All actions in staffing are subject to PPP. It is assumed that management and classification know what they are doing. Your Servicing Staffing Specialist will also get confirmation from the Supervisor that the position description is indeed accurate as submitted. This is a very important step because a copy of the position description is forwarded to the releasing activity to assure the registrant can successfully perform the duties of the position being offered which may not be clear from the position description. However, care must be exercised in order to ensure there is not a hint of new "criteria" being made up to avoid placement.

### 5. IS THE OFFER MANDATORY OR DOES THE MANAGER HAVE A CHOICE?

The offer is mandatory and this is rigidly enforced. Of course, the registrant must be fully qualified for the job including meeting reasonable specialized factors. The PPP has several specific exceptions. If the vacancy/placement meets one of the exceptions, the action is noted and your servicing Personnel Staffing Specialist will proceed with processing and advise you. If it does not meet one of the exceptions and a match occurs, and the registrant has been found fully qualified, the position must be offered.

special circumstances, are subject to the

At the time of a match, a very brief resume is provided. It contains the positions for which registered, the priority and last 3 positions held and some related data. Your Servicing Staffing Specialist will be able to "decipher" the limited information on the resume. Additional information may be obtained through the use of a SF-171 or similar document when the position to be filled is at the GS-12 or higher grade level. Official Personnel Folders may be obtained and reviewed for those registrants referred for GS-14 and 15 positions.

### **7. WHAT IF I FEEL STRONGLY THAT THE PERSON CANNOT DO MY JOB?**

The Human Resources (HR) office at gaining activities are not authorized to unilaterally disqualify registrants. When there is a decision between the gaining and releasing activity that the registrant is not qualified, no stopper placement is made. When the gaining and releasing activities disagree, the dispute will be resolved by the appropriate coordinator. Each HR has 15 days to furnish the rationale for its determination to the appropriate Regional Coordinator. If the dispute is between two Army activities, the Army Regional Coordinator will make the decision, and it is final. If the dispute is between agencies, e.g., Army and Navy and cannot be resolved, it goes to the DoD Zone Coordinator.

### **8. HOW LONG DOES THE REGISTRANT GET TO ACCEPT THE JOB?**

Registrants are normally given up to four days. When the offer goes to an overseas activity, it generally takes at least seven working days to receive a response from the registering activity. If a Permanent Change in Duty Station (PCS) is involved, it takes generally 30 to 45 days before the new team member would report for duty (depending on the distance involved). The reporting dates are negotiated by the HR offices. Requests for annual leave en route, or other  
as

CESPD-DE (690-300)

supervisor's approval and can be negotiated at this time.

### **9. WHAT HAPPENS IF THE PERSON PLACED THROUGH PPP CANNOT PERFORM THE DUTIES OF MY JOB?**

Upon arrival, your new team member should be given the orientation and assistance afforded any new employee. Written performance standards and a clear discussion of duties and expectations for performance should be provided promptly (by regulation, no later than 30 days after assignment).

### **10. HOW SUCCESSFUL IS PPP?**

Thousands of Federal workers have been placed through this system. In times of base closure, such as those facing us today, the system is an invaluable way to hire skilled and trained employees. There are many excellent team members presently working for us who came through PPP. The success of the program is reflected in the successful performance of its placements.

### **11. WHY SHOULD I SUPPORT PPP?**

PPP is a mandatory DoD program with very high visibility. One day it could be you who is facing separation and being registered in the program. If you have questions or would like additional information on PPP, please contact your Human Resources Area Office or Servicing Staffing Specialist.

POC: Ms. Federica Lee, Staffing Division, Directorate of Human Resources at (916) 557-5387.

Attach

11 Nov 1994

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Department of Defense (DoD) Priority Placement Program (PPP)

1. Reference DoD Manual 1400.20-1-M, DoD Program for Stability of Civilian Employment.
2. The Department of Defense Priority Placement Program will be supported by all managers and supervisors in the South Pacific Division. Complete cooperation is expected in the placement of employees adversely affected under PPP. The Directorate of Human Resources will comply with administering the principles, policies, and requirements set forth in the above reference. The South Pacific Division will give maximum placement consideration to all registrants in PPP.

*/S/*

BRUCE K. SCOTT  
Brigadier General, U.S. Army  
Commanding

DISTRIBUTION:

CESPD-2  
CESPL-B  
CESPK-G  
CESPN-2

17 January 1995

SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

**MERIT PROMOTION AND INTERNAL PLACEMENT**

1. The various merit promotion plans and labor agreements within South Pacific Division and its districts, establish policy and provide instruction, fix responsibility, and prescribe the basic principles and procedures in the administration of the Merit Promotion and Internal Placement Program which are consistent with the governing regulations, directives, and policies of the Office of Personnel Management (OPM), Department of Army, and are responsive to management and employee needs.

2. These plans and agreements govern the filling of all appropriated fund positions within the South Pacific Division and other organizations receiving personnel administration and support in accordance with servicing agreements. These plans and agreements are subordinate to regulations and directives issued by higher authority and nothing in them will be construed as superseding the mandatory provisions. Where the provisions of the negotiated agreement are different from the provisions of these plans and agreements, the negotiated provisions will take precedence.

3. It is the overall intent and policy of

positions using procedures based on merit, and afford systematic and equitable consideration to all applicants in a cost effective and timely manner with the best qualified candidates available.

4. The supervisor, has to be familiar with the contents and comply with provisions of these plans and agreements with emphasis on:

a. Ensuring decisions are based on merit principles.

b. Job related selection criteria (i.e. job analysis and crediting plan.) Staffing specialist/ assistants and classification specialists can assist supervisors in identifying and developing job related selection criteria.

c. Initiating requests for personnel action (SF-52), in sufficient time (generally 60-90 days ahead of proposed effective date) to obtain an adequate number of qualified candidates and to get a replacement or new person on board by the date desired.

these plans and agreements to fill

d. Responding to applicant inquiries and questions relating to position vacancies and reasons for selection.

e. Assisting the Directorate of Human Resources Staffing Division in recruiting high quality candidates, particularly those in under represented groups.

f. Serving, or provide employees to serve, on rating panels as Subject Matter Experts when required.

g. Completing supervisory performance appraisals, as required in an accurate and timely manner.

h. Contacting the staffing specialists/ assistants when employees on authorized leave are interested in specific vacancies.

i. Ensuring vacancy announcements and biweekly listings are posted in areas accessible to all employees.

5. Your POC for additional information is the Chief, Staffing Division, (916) 557-6796.

13 January 1995

SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

**VOLUNTARY SEPARATION INCENTIVE PAY PROGRAM  
SUPERVISOR'S GUIDE**

**GENERAL INFORMATION:**

The Voluntary Separation Incentive Pay (VSIP) Program is a Department of Defense (DoD) program which authorizes the use of separation incentives to encourage certain designated civilian employees to separate voluntarily from Federal service. The program is a management tool which may be used to reshape and reduce the civilian workforce, avoid the need for involuntary separations by means of Reduction-in-Force, and create vacancies for the placement of employees subject to involuntary separation. Organizations may use VSIP to meet decreased manpower authorization levels and comply with high-grade targets, while minimizing potential adverse impact on the current workforce. There are two basic VSIP programs, Internal VSIP and Expanded VSIP. The primary difference between the two programs is that one program (Expanded) requires a one-for-one match between an employee who wants to separate with an incentive, and an employee who wants to stay Federally employed, while the other program (Internal) requires no such match. DoD requires that all DoD

Under the Expanded VSIP Program, one of our employees voluntarily separates when his/her position (or another valid, continuing position within the Division) is filled, via the DoD Priority Placement Program, by a well-qualified, available employee who is facing involuntary separation from another DoD organization. The losing organization pays the separation incentive for our separating employee.

Under the Internal VSIP Program, we allow one of our employees to voluntarily separate without requiring the hiring of an employee from another DoD organization. We abolish the position of our separating employee (or another excess position) in order to decrease our total strength. In this case, we are responsible for paying the incentive of our separating employee.

reduction in their retirement annuity of

organizations participate in the Expanded VSIP program unless there are compelling reasons which warrant non-participation. These compelling reasons may include the need to downsize or reshape our organization. With justification, specific skills/grade levels/ organizations within the Division may be excluded. In Division Headquarters, Directors and Office Chiefs may recommend specific skills/grades to be excluded from participation in Expanded VSIP. The Division Commander has the authority to approve such exclusions. At the District level, District Engineers are delegated the authority to exclude specific skills/grade levels, but may not exclude more than half of their District from participation. The Division Commander retains the authority to exclude more than half of a District. Department of Army and Office of the Secretary of Defense coordination are required in order to exclude an entire Division or District from participation in Expanded VSIP.

**ELIGIBLE EMPLOYEES:**

**Optional Retiree Eligibles:** An employee meeting the existing criteria under either the Civil Service Retirement System (CSRS) or the Federal Employees Retirement System (FERS). Ms. Marci Reyes, Human Resources Representative, (916) 557-5130, can provide specific information about these retirement systems, including an estimate of the employee's anticipated annuity.

**Voluntary Early Retirement Authority (VERA) Eligibles:**

An

two percent per year for each full year they are under age 55. (The annuity reduction for being under age 55.) Ms. Marci Reyes, Human Resources Representative, (916) 557-5130 can provide specific information about the Voluntary Early Retirement Authority.

**Voluntary Resignation Eligibles:**

An employee, regardless of the retirement system under which covered, may resign at anytime. In order to qualify for the voluntary separation incentive, the resignation must be effective not later than the date of the action placing another person in the position vacated.

**SEPARATION DATE:**

Normally, an employee's separation must be no later than the date of the action placing another person in the position vacated. However, an extension of the effective date may be granted for a brief period when a compelling need exists.

**INCENTIVE PAYMENT:**

Once an employee is approved to receive the separation incentive, it will be authorized upon separation and paid subsequent to the effective date in lump sum (less FICA/Medicare taxes, Federal income tax withholding and applicable state and local taxes) and shall be the lessor of:

employee who have at least 20 years of service at age 50 or 25 years service at any age may retire when authorized. Employees covered under the CSRS who elect to retire under the Voluntary Early Retirement will take a a. \$5,000 or b. An amount equal to the payment an employee would be entitled to receive under the severance pay formula, i.e.

1) One week's pay at the rate of basic pay received immediately before separation for each year of civilian service up to and including 10 years, and two weeks basic pay at that rate for each year of civilian service beyond 10 years; and

2) An age adjustment allowance computed on the basis of 10 percent of the total basic severance allowance for each year by which the age of recipient exceeds 40 years, at the time of separation. This formula is used for computation purposes only and applied without consideration for whether a VSIP eligible is also eligible for severance pay. An employee need not be eligible for severance pay in order to receive a separation incentive.

### **PRE-RETIREMENT INFORMATION:**

If an employee is eligible for retirement and is interested in applying for a separation incentive, he/she should contact the Human Resources Representative (Ms. Marci Reyes at (916) 557-5130 to have the estimated annuity computed.

### **SPECIAL PROVISIONS:**

Employees who accept VSIP may not be reemployed in any capacity by the Federal government for five (5) years following separation.

Those employees who have already accepted employment with another Federal agency are not eligible for separation pay. Employees who accept VSIP and return within five years must repay the full amount of the buyout, not what they got after deductions. The Office Personnel Management has waived the requirement that an employee be enrolled in the Federal Employees Health Benefits Program for a period of five years prior to retirement in order to carry these benefits into retirement. Employees who retire under VSIP during the period 30 March 1994, through 31 March 1995, will be granted a waiver to this requirement.

## INTERNAL VSIP:

The following steps must be taken in order to request participation in the Internal VSIP program:

1. The Director or Division Chief must prepare a memorandum requesting exclusion from Expanded VSIP. There must be compelling circumstances (e.g. anticipated major reductions, critical skill/position) in order to obtain approval for exclusion. A USACE-wide exclusion is not possible. The Army PPP Coordinator must approve the exclusion of an entire organization (Division or District). The Division Commander may exclude part (specific skills) of SPD and the District Engineer may exclude part of a District.

2. The Director or Division Chief requests authority for an Internal VSIP. This is usually accompanied by a request to obtain Voluntary Early Retirement Authority (VERA). The request must provide specific justification, including workload/ budget/FTE reductions, and specific occupational series and grade levels to be abolished, requested dates for

VSIP/VERA windows. It also includes a fund cite to be used to pay VSIP and the 9% civil service system charge for any employees retiring early and taking a VSIP.

3. The Division Headquarters or District forwards a single, consolidated request to the Human Resources Staffing Division. The Staffing Division then prepares the formal VERA and VSIP requests using the information provided by the Division or District. The VERA request is forwarded through the chain-of-command to the Office of the Secretary of Defense for approval. The VSIP request is submitted to the Division Commander for approval. The Human Resources Directorate also notifies the union, where applicable. Upon receipt of authority to offer Internal VSIP and VERA, the Staffing Division, in conjunction with management and the union, establishes the time periods during which VERA and/or VSIP applications will be accepted, approved, disapproved and processed.

## **EXPANDED VSIP:**

Beginning in March 1994, the Directorate of Human Resources (HR) solicited VSIP applications from a select group of our employees. The Department of Defense provided HR a list of VSIP Priority Placement Program (PPP) registrants' occupational series and grade levels, by geographic area. These registrants were employees facing involuntary separation from a small number of closing bases/activities in California. The list was compared with our employee database and our employees who have occupational series and grade levels identical to those on the DoD list were invited to apply for VSIP. The Human Resources Directorate is continuing to try to find "matches" for these VSIP applicants, and allow them to separate from the Corps with an incentive. An active requisition is on file in PPP's Automated Stopper and Referral System for each active VSIP applicant.

Effective May 1995, the Voluntary Separation Incentive Pay (VSIP) Program was expanded to all DoD activities in the Continental United States (CONUS). The opportunity to apply for participation in Expanded VSIP has been extended to all SPD employees.

### **APPLICATION PROCEDURE:**

There is no specified window of opportunity for the submission of an Expanded VSIP application. The authority to offer VSIP has been extended for DoD employees through

30 Sep 1999. An employee may submit an application for participation in Expanded VSIP at any time, but should not apply unless ready to retire or resign. The application is completed by the employee and forwarded THRU the appropriate Director/Office Chief (at Division Headquarters) or Division/Office Chief (in the Districts) and the HR Area Office TO the HR Office (ATTN: CESP/HR-R (Mr. Guy Brown)). The approval of the application for VSIP and the commitment of a position to a PPP registrant obligates the employee to retire or resign as appropriate. An employee's application will remain active until approved for a VSIP separation, or until he/she requests, in writing, that it be returned, or until DoD discontinues the program.

The Director/Division Chief/Office Chief reviews the application and determines on a case-by-case basis whether or not the applicant's position is:

1) Required to be refilled. If so they will approve the application and send it through the HR Area Office to HR.

2) Likely to be affected by workload or manpower reductions, restructuring, or high-grade control. This determination can result in two situations.

a) The applicant's position is to be eliminated but another position is to be loaded into the DoD PPP for backfill. If so, the application will be approved and sent together with the Job Description to be backfilled through the HR Area Office to HR.

b) The applicant's position is to be eliminated and there is no other position to load into PPP for backfill. If so, the application will be disapproved and returned to the applicant with an explanation for disapproval. A copy of the application with disapproval will be forwarded through the HR Area Office to HR for record keeping purposes.

The Human Resources Office determines who will receive an Expanded VSIP incentive based on its success in finding a well-qualified, available and eligible match for the position to be backfilled. Once a VSIP separation is approved by HR, HR notifies management and the employee selected to receive the incentive of the approval.

**APPLICATION FOR  
SEPARATION INCENTIVE (EXPANDED PROGRAM)**

EMPLOYEE: \_\_\_\_\_

1. I am applying for the Voluntary Separation Incentive on the basis of one of the following (indicate by check mark):

- \_\_\_\_\_ Optional Retirement
- \_\_\_\_\_ Voluntary Early Retirement
- \_\_\_\_\_ Voluntary Resignation

2. I understand that this action, if approved, must be effective not later than the date of the application to place another person in the position I vacate.

3. This application is entirely voluntary and I understand that if the number of applications exceeds the number authorized, selection of employees will be based on Service Computation Date (SCD) for leave where more than one employee is eligible for a single position match.

NAME: \_\_\_\_\_ SSAN: \_\_\_\_\_  
DATE OF BIRTH: \_\_\_\_\_ ORGANIZATIONAL SYMBOL: \_\_\_\_\_  
DUTY PHONE: \_\_\_\_\_ SHIFT: \_\_\_\_\_  
OCCUPATIONAL SERIES AND GRADE: \_\_\_\_\_  
SUPERVISOR: \_\_\_\_\_

\_\_\_\_\_  
(EMPLOYEE SIGNATURE) (DATE)

MANAGER: I have determined (Please check appropriate paragraphs):

- \_\_\_\_\_ This employee's position requires refill. I have attached a current copy of the Job Description to be used for DoD PPP matching purposes.
- \_\_\_\_\_ This employee's position is likely to be affected by restructuring and:
  - \_\_\_\_\_ The Job Description attached is to be used, loaded into the DoD PPP for backfill and matching purposes.
  - \_\_\_\_\_ There is no other position to load into the DoD Priority Placement Program (PPP) for backfill and, regrettably, your application is disapproved.

\_\_\_\_\_  
DIRECTOR/OFFICE/DIVISION CHIEF SIGNATURE DATE

(over)

\*\* SPD HR USE ONLY \*\*

1. Leave SCD: \_\_\_\_\_
2. Date Offer Completed: \_\_\_\_\_
3. Dates:
  - a. Incentive Approved: \_\_\_\_\_
  - b. MIPR received \_\_\_\_\_ (Initial and Date, attach copy of MIPR)
  - c. Manager and Employee Notified \_\_\_\_\_ (Initial and Date)
4. I certify all action has been properly completed to authorize and process voluntary separation incentive for this employee.

\_\_\_\_\_  
(SIGNATURE)

\_\_\_\_\_  
(DATE)

17 January 1995

SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

**REPROMOTION ELIGIBLE**

1. References: CFR Part 335 --  
Promotion and Internal Placement

AR 690-950 -- Merit  
Placement and Outside Recruitment

2. Eligibility: Various regulations provide for noncompetitive repromotion of an employee to a grade from which they were involuntarily demoted for reasons such as reduction in force, correction of a classification error, return from overseas, handicapped condition, or declination of functional transfer. Such eligibility is also extended to employees who are on pay or grade retention.

3. Special Consideration for Repromotion: Human Resources Division will refer, for consideration, employees on pay or grade retention prior to competitive procedures. Referrals may be made to jobs at or below the grade and in the pay group from which the employee was demoted prior to their placement in the lower graded position.

4. Termination of Special Consideration: Ineligibility occurs when:

a. An employee declines a valid offer to the grade from which demoted. This will terminate the employee's entitlement to repromotion consideration and grade or pay retention as well.

b. An employee declines a valid offer at an intervening grade. This will terminate the employee's entitlement to repromotion consideration at that grade level only.

c. When the employee is no longer entitled to grade or pay retention benefits, special consideration eligibility ceases.

5. Referral and Selection: Referral of repromotion eligibles takes place prior to competitive referral, however, repromotion, is not guaranteed. A repromotion eligible may also be considered for the same position under competitive procedures if he/she chooses to apply.

SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

**RETENTION ALLOWANCE**

1. References:

a. Title 5, Code of Federal Regulations (CFR), Chapter 1, Part 575, subpart C.

b. Federal Employees Comparability Act (FEPCA) of 1990 (Public Law 101-509)

2. The South Pacific Division and subordinate Districts have the flexibility to offer retention allowances of up to 25% of basic pay to a General Schedule employee in order to retain his services.

3. Each allowance paid under this authority will be based on a written determination that it is essential the employee is retained, and in the absence of a retention allowance, the employee is likely to leave Federal service.

4. Conditions:

a. A retention allowance may be paid to an employee if he has completed a mandatory period of employment established under a service agreement for a recruitment or relocation bonus, if applicable.

b. A retention allowance may be paid to an employee who is likely to leave the Federal service (for private

example). However, the determination must show the qualifications of the employee and/or the needs of the agency make it essential to retain the employee.

5. The decision to pay a retention allowance and the justification will be documented on the Recommendation and Request for Approval form (Enclosure 1).

a. District level positions: For positions at or below the Office/Division Chief level, the Division Chief may make the recommendation subject to the District Engineer's approval.

b. For positions at the Office or Division Chief level, the District Engineer makes the recommendation subject to the Division Commander's approval.

c. Division (SPD-HQ) level positions: For positions within the SPD Headquarters, the Director or Office Chief recommends the bonus subject to the Division Commander's approval.

d. In determining whether an allowance be paid and in determining the amount of the bonus, the deciding official will consider the following:

employment or for retirement, for

1) The success of recent efforts to recruit candidates and retain employees with similar qualifications in similar positions; and

2) The availability in the labor market of candidates who with minimal training or disruption of service, could perform the full range of duties and responsibilities.

6. Before a retention allowance is paid, the employee must sign a Service Agreement (Enclosure 2) stating:

a. He would leave federal service if not offered a retention allowance; and

b. He will remain in the position for a specific period of time (as determined appropriate by the deciding official); or

c. If the position is temporary, he will remain in the position for the length of time specified in the Service Agreement.

7. Payment of a retention allowance may continue as long as the conditions that give rise to the original determination still exist. Retention allowances will be reviewed annually to insure payment is still warranted. The approving official shall certify continuance or termination of the allowance in writing annually.

8. Method of Payment: A retention allowance shall be paid in the same manner and at the same time as basic pay although it is not considered part of basic pay.

9. Termination of allowance:

Retention allowances may be reduced or discontinued by the Commander if, during the annual review, one or more of the following is determined to be true:

a. An increase in the base pay of an employee will cause the employee's pay to exceed the aggregate limitation on pay;

b. A lesser amount or none at all would be sufficient to retain the employee;

c. It is determined that based on current labor-market factors, the organization is more likely to be able to recruit a candidate with qualifications similar to those possessed by the employee.

d. The needs for the employee's services has been reduced or are no longer essential to the mission;

e. Budgetary considerations make it difficult to continue payment or to continue payment at the originally approved level.

10. Termination or reduction of a retention allowance may not be appealed; however, employees maintain the right to remedy under subchapter II of chapter 1 of Title 5 United States Code, or any of the laws referred to in 5 USC 2302(d).

**U.S. ARMY CORPS OF ENGINEERS, SOUTH PACIFIC DIVISION  
BONUS/ALLOWANCE -- RECOMMENDATION AND REQUEST FOR APPROVAL**

RECRUITMENT BONUS	RELOCATION BONUS	RETENTION BONUS
ORGANIZATION:	EMPLOYEE NAME:	SSN:
POSITION TITLE:	PAY PLAN/SERIES/GRADE:	BASE SALARY:
EFFECTIVE DATE:	APPROPRIATION CODE:	SERVICE ORGANIZATION:
MAILING ADDRESS (For Recruitment/Relocation Bonus Only):		

THE FOLLOWING INFORMATION MUST BE ATTACHED FOR REVIEW BY THE APPROVING OFFICIAL FOR A RECRUITMENT OR RELOCATION BONUS:

- A. WRITTEN JUSTIFICATION OUTLINING THE DIFFICULTY EXPERIENCED OR EXPECTED IN FILLING THE POSITION IF A BONUS IS NOT USED.
  
- B. THE PROPOSED RECRUITMENT/RELOCATION BONUS AMOUNT, ALONG WITH THE RATIONALE FOR PROPOSED AMOUNT.

THE FOLLOWING INFORMATION MUST BE ATTACHED FOR REVIEW BY THE APPROVING OFFICIAL FOR A RETENTION ALLOWANCE.

- A. WRITTEN DETERMINATION THAT UNIQUE QUALIFICATION OF THE EMPLOYEE OR A SPECIAL NEED OF AGENCY EXISTS.
  
- B. WRITTEN DOCUMENTATION THAT EMPLOYEE IS LIKELY TO LEAVE FEDERAL GOVERNMENT IN THE ABSENCE OF THE RETENTION ALLOWANCE.
  
- C. WRITTEN DESCRIPTION OF THE EXTENT TO WHICH THE EMPLOYEEs DEPARTURE WOULD AFFECT THE ORGANIZATION AND/OR THE MISSION.

**RECOMMENDATION**

RECOMMENDED AMOUNT OF BONUS ALLOWANCE:	PERCENTAGE OF SALARY:	
RECOMMENDING OFFICIAL's TITLE:	SIGNATURE:	DATE:

**APPROVAL**

APPROVED AMOUNT:	PERCENTAGE OF SALARY:	
APPROVING OFFICIAL's TITLE:	SIGNATURE:	DATE:

**\*\*FOR RETENTION ALLOWANCE ONLY\*\* RECERTIFICATION**

RECOMMENDING OFFICIAL's TITLE:	SIGNATURE:	DATE:
COMMENTS/CHANGES:		
APPROVING OFFICIAL's TITLE:	SIGNATURE:	DATE:
COMMENTS/CHANGES:		

USAED SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

**RETENTION ALLOWANCE SERVICE AGREEMENT**

A. LOCATION:		B. TITLE/SERIES/ GRADE:	
C. ANNUAL PAY:	D. AMOUNT OF ALLOWANCE:	E. CPCN:	
F. EFFECTIVE DATE:		G. EXPIRATION DATE:	

**EMPLOYEE'S STATEMENT**

<p>I understand that:</p> <ul style="list-style-type: none"> <li>a. I will be paid in the same manner and at the same time as basic pay although it shall not be considered part of basic pay.</li> <li>b. I understand that I must complete a period of employment established under a service agreement for payment of a recruitment or relocation bonus, if applicable, prior to payment of this retention allowance.</li> <li>c. I understand this allowance is subject to the aggregate limitation on pay as prescribed in the regulations.</li> <li>d. I understand this allowance is considered income for tax purposes.</li> <li>e. I understand the necessity of an annual review in relation to continuing payment of the retention allowance, and that the allowance may be paid as long as conditions warrant continuation of payment.</li> </ul>		
NAME:	GRADE:	SSN:
SIGNATURE:	DATE:	
APPROVING OFFICIAL: (NAME/TITLE):		
SIGNATURE:	DATE:	
REQUESTING OFFICIAL: (NAME/TITLE):		
SIGNATURE:	DATE:	

SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

**RELOCATION BONUS**

1. References:

a. Title 5 Code of Federal Regulations (CFR), Chapter 1, Part 575, subpart B.

b. Federal Employees Comparability Act (FEPCA) of 1990 (Public Law 101-509)

2. FEPCA provides the South Pacific Division and subordinate Districts the flexibility to offer relocation bonuses of up to 25 percent of an employee's base pay.

3. Eligibility: Relocation bonuses apply to positions in the General Schedule (GS).

a. Occupants of hard-to-fill positions and/or occupations that are critical to the mission are eligible. A relocation bonus may be offered to a current employee who must relocate to accept a position in a different commuting area. These bonuses may be paid for permanent and temporary relocations.

b. Relocation of employee must be without a break in service.

c. The initial offer for a relocation bonus may be made by the selecting official; however, approval must be granted by the District or

Division commander or the designated subordinate official (i.e. Executive Assistant, Deputy District Engineer, HR Director).

4. Documentation Requirements: The approving official is responsible for insuring the bonus is fully documented. The decision to pay a relocation bonus and the justification will be documented on the attached Recommendation and Request for Approval form (enclosure 1).

a. District level positions: For positions at or below the Office/Division Chief level, the Division Chief may make the recommendation subject to the District Engineer's approval.

b. For positions at the Office or Division Chief level, the District Engineer will recommend a bonus subject to the Division Commander's approval.

c. Division (SPD-HQ) level positions: For positions within the SPD Headquarters, the Director or Office Chief recommends the bonus subject to the Division Commander's approval. The requesting official must certify, in writing, that without a relocation bonus, the organization would have position.

d. Factors to be considered when documenting payment of relocation bonus will include:

1) A description of the results of recent efforts to attract candidates for the position for which payment of a bonus is being considered and/or for similar positions.

a) How many offers were made;

b) How many offers were declined and reasons;

c) Average length of time to fill this and/or similar positions; and

d) Number of employees in this and/or similar positions; authorized, required filled.

2) Labor-market factors that may affect the ability to recruit candidates for this and/or similar positions, such as the impact of locale on the ability to recruit and attract candidates.

e. A signed statement from the employee stating he would not relocate without receipt of a relocation bonus.

f. A memorandum from the Commander approving the relocation bonus (enclosure 2).

5. Service Agreement: Before a bonus can be paid, the employee must sign a written agreement to serve a specified period of employment at the new duty station to which relocated. The specific period of time will be decided between the requesting official and the approving official and documented on the enclosed Service Agreement (enclosure 3).

6. Method of Payment: Relocation bonuses are calculated as a percentage of the employee's rate of basic pay and paid as a lump sum. Before a relocation bonus may be paid to an employee, the employee must establish a residence in the new commuting area.

**U.S. ARMY CORPS OF ENGINEERS, SOUTH PACIFIC DIVISION  
BONUS/ALLOWANCE -- RECOMMENDATION AND REQUEST FOR APPROVAL**

RECRUITMENT BONUS	RELOCATION BONUS	RETENTION BONUS
ORGANIZATION:	EMPLOYEE NAME:	SSN:
POSITION TITLE:	PAY PLAN/SERIES/GRADE:	BASE SALARY:
EFFECTIVE DATE:	APPROPRIATION CODE:	SERVICE ORGANIZATION:
MAILING ADDRESS (For Recruitment/Relocation Bonus Only):		

THE FOLLOWING INFORMATION MUST BE ATTACHED FOR REVIEW BY THE APPROVING OFFICIAL FOR A RECRUITMENT OR RELOCATION BONUS:

- A. WRITTEN JUSTIFICATION OUTLINING THE DIFFICULTY EXPERIENCED OR EXPECTED IN FILLING THE POSITION IF A BONUS IS NOT USED.
- B. THE PROPOSED RECRUITMENT/RELOCATION BONUS AMOUNT, ALONG WITH THE RATIONALE FOR PROPOSED AMOUNT.

THE FOLLOWING INFORMATION MUST BE ATTACHED FOR REVIEW BY THE APPROVING OFFICIAL FOR A RETENTION ALLOWANCE.

- A. WRITTEN DETERMINATION THAT UNIQUE QUALIFICATION OF THE EMPLOYEE OR A SPECIAL NEED OF AGENCY EXISTS.
- B. WRITTEN DOCUMENTATION THAT EMPLOYEE IS LIKELY TO LEAVE FEDERAL GOVERNMENT IN THE ABSENCE OF THE RETENTION ALLOWANCE.
- C. WRITTEN DESCRIPTION OF THE EXTENT TO WHICH THE EMPLOYEE'S DEPARTURE WOULD AFFECT THE ORGANIZATION AND/OR THE MISSION.

**RECOMMENDATION**

COMMENDED AMOUNT OF BONUS ALLOWANCE:	PERCENTAGE OF SALARY:	
COMMENDING OFFICIAL'S TITLE:	SIGNATURE:	DATE:

**APPROVAL**

PROPOSED AMOUNT:	PERCENTAGE OF SALARY:	
APPROVING OFFICIAL'S TITLE:	SIGNATURE:	DATE:

**\*\*FOR RETENTION ALLOWANCE ONLY\*\* RECERTIFICATION**

COMMENDING OFFICIAL'S TITLE:	SIGNATURE:	DATE:
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REMARKS/CHANGES:		
APPROVING OFFICIAL'S TITLE:	SIGNATURE:	DATE:

REMARKS/CHANGES:		
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USAED SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

**RELOCATION BONUS SERVICE AGREEMENT**

A. LOCATION:	B. TITLE/SERIES/GRADE:	
C. ANNUAL PAY:	D. AMT OF ALLOW:	E. CPCN:
F. EFFECTIVE DATE:	G. EXPIRATION DATE:	

**EMPLOYEE'S STATEMENT**

<p>I understand that:</p> <ol style="list-style-type: none"> <li>a. As a condition of accepting payment, I will remain in the above position from the effective date at least through the expiration date of this agreement, unless the agreement is terminated sooner as indicated below.</li> <li>b. If my employment in the position shown above is terminated during the period of agreement at the convenience of the government, I will be entitled to retain the entire bonus.</li> <li>c. If my employment in the position is terminated during the period of the agreement at my request, or as a result of the misrepresentation or conduct, I will be required to refund the unearned portion of the bonus.</li> <li>d. The bonus is not considered basic pay for computing overtime, retirement, insurance entitlement, or other benefits based on basic pay.</li> <li>e. This agreement does not, in any way, commit the government to continue my employment until the expiration date.</li> </ol>
--

NAME:	GRADE:	SSN:
SIGNATURE:	DATE:	
APPROVING OFFICIAL: (NAME/TITLE):		
SIGNATURE:	DATE:	
HUMAN RESOURCES DIRECTOR (NAME/TITLE):		
SIGNATURE:	DATE:	

SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

**RECRUITMENT BONUS**

1. References:

a. Title 5, Code of Federal Regulations (CFR), Chapter 1, Part 575, subpart a.

b. Federal Employees Comparability Act (FEPCA) of 1990 (Public Law 101-509)

2. FEPCA provides the South Pacific Division and subordinate Districts the flexibility to offer recruitment bonuses of up to 25% of an employee's base pay.

3. Eligibility: Recruitment bonuses apply to positions in the General Schedule (GS).

a. A recruitment bonus may be paid to any qualified candidate for a difficult-to-fill position. When necessary to make a timely offer of employment, the Commander may authorize (in advance) the recommending official to offer a recruitment bonus to any candidate without further review or approval.

b. A recruitment bonus may be offered to a new employee regardless of tenure, or to a newly appointed employee of the federal government following a break in service of at least 90 days from the candidate's last period of federal employment other

1) Employment in a cooperative work-study program;

2) Employment under the Stay-in-School program;

3) Employment as a law clerk trainee;

4) Employment during school vacations under a short term temporary appointing authority;

5) Employment under a provisional appointment, if the new appointment is permanent and immediately follows the provisional appointment; and

6) Employment under a temporary appointment that is neither full-time nor the principle employment of the candidate.

c. The Commander, South Pacific Division has designated subordinate District Commanders to make initial bonus offers, subject to his final review and approval.

than:

4. Documentation Requirements: The approving official is responsible for insuring the bonus is fully documented. The decision to pay a recruitment bonus and the justification will be documented on the attached Recommendation and Request for Approval form (enclosure 1).

a. District level positions: For positions at or below the Office/ Division Chief level, the Division Chief may make the recommendation subject to the District Engineer's approval.

b. For positions at the Office or Division Chief level, the District Engineer makes the recommendation subject to the Division Commander's approval.

c. Division (SPD-HQ) level positions: For positions within the SPD Headquarters, the Director or Office Chief recommends the bonus subject to the Division Commander's approval.

d. Requesting official must certify and attach to the request form, that without a recruitment bonus, the organization would have difficulty filling the position. This determination must be made before any employee enters on duty.

e. Groups of positions that have been hard to fill in the past may be targeted and the decision to offer recruitment bonuses may be determined (in writing) for the entire group prior to actual recruitment.

payment of a bonus is being considered and/or for similar positions.

a) How many offers were made;

b) How many offers were declined and reasons;

c) Average length of time to fill this and/or similar positions;

d) Number of employees in this and/or similar positions; authorized, required, filled.

2) Labor-market factors that may affect the ability to recruit candidates for this and/or similar positions, such as the impact of locale on the ability to recruit and attract candidates.

g. In addition to the above documentation, the request must also include a signed statement from the employee stating he would not accept the job offer without receipt of a recruitment bonus.

5. Service Agreement: Before a bonus will be paid, the employee must sign a written agreement to serve a minimum of six (6) months (enclosure 2).

6. Method of Payment: A recruitment bonus is paid as a one-time lump sum payment.

f. Factors to be considered in documenting payment of recruitment bonus will include:

1) A description of the results of recent efforts to attract candidates for the position for which

U.S. ARMY CORPS OF ENGINEERS, SOUTH PACIFIC DIVISION

**BONUS/ALLOWANCE -- RECOMMENDATION AND REQUEST FOR APPROVAL**

RECRUITMENT BONUS	RELOCATION BONUS	RETENTION BONUS
ORGANIZATION:	EMPLOYEE NAME:	SSN:
POSITION TITLE:	PAY PLAN/SERIES/GRADE:	BASE SALARY:
EFFECTIVE DATE:	APPROPRIATION CODE:	SERVICE ORGANIZATION:
MAILING ADDRESS (For Recruitment/Relocation Bonus Only):		

THE FOLLOWING INFORMATION MUST BE ATTACHED FOR REVIEW BY THE APPROVING OFFICIAL FOR A RECRUITMENT OR RELOCATION BONUS:

- A. WRITTEN JUSTIFICATION OUTLINING THE DIFFICULTY EXPERIENCED OR EXPECTED IN FILLING THE POSITION IF A BONUS IS NOT USED.
- B. THE PROPOSED RECRUITMENT/RELOCATION BONUS AMOUNT, ALONG WITH THE RATIONALE FOR PROPOSED AMOUNT.

THE FOLLOWING INFORMATION MUST BE ATTACHED FOR REVIEW BY THE APPROVING OFFICIAL FOR A RETENTION ALLOWANCE.

- A. WRITTEN DETERMINATION THAT UNIQUE QUALIFICATION OF THE EMPLOYEE OR A SPECIAL NEED OF AGENCY EXISTS.
- B. WRITTEN DOCUMENTATION THAT EMPLOYEE IS LIKELY TO LEAVE FEDERAL GOVERNMENT IN THE ABSENCE OF THE RETENTION ALLOWANCE.
- C. WRITTEN DESCRIPTION OF THE EXTENT TO WHICH THE EMPLOYEEs DEPARTURE WOULD AFFECT THE ORGANIZATION AND/OR THE MISSION.

**RECOMMENDATION**

RECOMMENDED AMOUNT OF BONUS ALLOWANCE:	PERCENTAGE OF SALARY:	
RECOMMENDING OFFICIAL's TITLE:	SIGNATURE:	DATE:

--	--	--

APPROVAL

APPROVED AMOUNT:	PERCENTAGE OF SALARY:	
APPROVING OFFICIAL'S TITLE:	SIGNATURE:	DATE:

**\*\*FOR RETENTION ALLOWANCE ONLY\*\* RECERTIFICATION**

RECOMMENDING OFFICIAL'S TITLE:	SIGNATURE:	DATE:
COMMENTS/CHANGES:		
APPROVING OFFICIAL'S TITLE:	SIGNATURE:	DATE:
COMMENTS/CHANGES:		

USAED SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

**RECRUITMENT BONUS SERVICE AGREEMENT**

A. LOCATION:		B. TITLE/SERIES/GRADE:
C. ANNUAL PAY:	D. AMT OF ALLOW:	E. CPCN:
F. EFFECTIVE DATE:		G. EXPIRATION DATE:

**EMPLOYEE'S STATEMENT**

<p>I understand that:</p> <p>a. As a condition of accepting payment, I will remain in the above position from the effective date at least through the expiration date of this agreement, unless the agreement is terminated sooner as indicated below.</p> <p>b. If my employment in the position shown above is terminated during the period of agreement at the convenience of the government, I will be entitled to retain the entire bonus.</p> <p>c. If my employment in the position is terminated during the period of the agreement at my request, or as a result of the misrepresentation or conduct, I will be required to refund the unearned portion of the bonus.</p> <p>d. The bonus is not considered basic pay for computing overtime, retirement, insurance entitlement, or other benefits based on basic pay.</p> <p>e. This agreement does not, in any way, commit the government to continue my employment until the expiration date.</p>		
NAME:	GRADE:	SSN:
SIGNATURE:	DATE:	

APPROVING OFFICIAL: (NAME/TITLE):	
SIGNATURE:	DATE:
HUMAN RESOURCES DIRECTOR (NAME/TITLE):	
SIGNATURE:	DATE:

SOUTH PACIFIC DIVISION  
U.S. ARMY CORPS OF ENGINEERS

## UPWARD MOBILITY PROGRAM

1. References:

1a. AR 690-300 14, Career Development Upward Mobility Programs

1b. CESPCK PAM 690-1-410, Upward Mobility Program

1c. CESPDR 690-1-15, Upward Mobility Program

1d. CESPL OM 690-1-18, Upward Mobility Program

2. Objectives: The Upward Mobility Program is designed to assist employees in identifying and preparing for career objectives consistent with Division/Districts, serviced activity and Corps needs; and to assist management in achieving its continuing objective of fully utilizing the maximum skills of each employee in the work force.

3. Policy: To provide opportunities for employees to enhance their skills and advance career wise in accordance with their potential, employees who indicate interest in establishing or improving their qualifications to compete for future career progression within assigned division or counseling and what ever assistance is possible and feasible. The assistance may

courses, payment or partial payment of tuition for college courses, reassignments to learn new skills, or training situations which are specifically required to establish the employee's basic eligibility for competitive progression towards a career objective. The equal opportunity policy of the South Pacific Division and serviced districts and activities with regard to absolute equality for all employees is totally applicable to this program.

4. Applicability: This program is applicable to all General Schedule (GS) and Wage Grade (WG) employees, GS-09 or WG-09 and below on a voluntary basis. While there are no specific priorities, it is particularly applicable to those employees who find they are in dead-ended, or limited potential positions at relatively low grades because of organizational location, limited education or work experience, or lack of opportunity to apply skills previously acquired.

5. Responsibilities:

a. Managers and supervisors are responsible for:

involve arranging for correspondence

1) Considering all vacant and potential positions for an upward mobility opportunity. 2)

Assuring that each applicant understands the program and his/her commitment to the program.

3) Selecting the most qualified applicant based on potential, in compliance with merit selection and equal opportunity principles.

4) Assisting the upward mobility employee to develop or refine realistic short-term/long-term career goals.

5) Identifying employee's skills an assignment opportunities/ experiences needed by employee to qualify him/her for advancement and achieving career goals.

6) Developing a individual training plan, considering both on-the-job and formal classroom training needs. (see encl)

7) Counseling employee regarding his/her performance and application of skills acquired in training.

8) Evaluating employee's performance and progress on a quarterly basis.

b. Employees are responsible for:

1) Establishing realistic short-term/long-term career goals

specific jobs/occupations with their assigned division or district.

2) Seeking counseling from supervisors/Upward Mobility Program Coordinator if assistance is needed in establishing career goals.

3) Monitoring vacancy announcements within their division or district and applying for upward mobility position vacancies in line with his/her interest and career goals.

4) Assisting supervisors in development of an individual training plan.

5) Accomplishing training plan requirement to reach target position and achieve career goals.

6) Providing verifications of formal training completed to supervisor and Upward Mobility Program Coordinator.

c. Branch, division and office directors/chiefs are responsible for:

1) Supporting upward mobility plans of action to the maximum extent feasible and consistent with workload and budgetary constraints.

taking into consideration his/her interests, willingness to make significant commitments of time and energy for career advancement, and

2) Establishing career ladders (consistent with division and local district and serviced activities needs) which are supportive of upward mobility principles. d. The Directorate of Human Resources is responsible for:

1) Advertising and assisting managers and supervisors in establishing upward mobility positions.

2) Designating an Upward Mobility Coordinator (UMPC).

3) Counseling employees on career advancement opportunities, procedures and career goal setting.

4) Assisting supervisor in developing an individual training plan.

ACTION:	EMPL	SUPV	AO	HR-R	HR-P	HR-D	RM	TIME REQ'd TO COMPL THIS STEP	TOTAL TIME REQ'd TO COMPL PROCESS
Determine need for Upward Mobility Posn		x						1	1
Approves allotment/spaces/ changes							x	4	5
Submit 52 to HR (Encl 1)		x						1	6
52 reviewed by AO, entered in 52 track and forwarded to PM&C			x					1	7
Position description reviewed by PM&c and approved. Position built and 52 forwarded to AO for recruit					x			14	21
Issue an announcement. Ann are open only to perm emp in the specific District with the vacancy. (Encl 2)				x				14	35
Determine quals and do a suitability review.				x				5	40
Refer applicants				x				1	41
Make selection		x						10	51
Coordinate EOD	x	x		x				1	52
Code 52, including SPID/SPEP information, forward to Team Leader for approval.				x				1	53
Notify T&D of Selectee in order to coordinate trng plan. (Encl 3)				x				1	54
Monitor employee progress by having supv. and T&D sign promotion 52's that empl has completed req'd training for promotion and completion of the program.		x		x		x		1	55

## UPWARD MOBILITY TRAINING PLAN

30 September 1994

### UPWARD MOBILITY POSITION:

Within Environmental Design Section, Geotechnical Branch, Engineering Division; Engineering Technician GS-0802-3,4,5,6, under job descriptions V2732, V2698, V2699, V2700.

TARGET POSITION: Engineering Technician GS-0802-7, 8, 9, under existing job descriptions V0387, V0386, V0389

#### 1. Purpose:

This plan describes the procedures to be followed to insure the technical, personal, and organizational development of affected employees in implementing the Upward Mobility Program to the position indicated above.

2. Applicability: All employees of Environmental Design Section (EDS) will plan an active part in this program. The greatest involvement will be by Andrea Archer, the Upward Mobility (UM) candidate selected. By operating necessity, a great amount of participation will also be required of the EDS senior environmental technician and the Section Chief. Senior personnel in each of the EDS functional elements will also have significant responsibilities.

#### 3. References:

CESPK PAM 690-1-410

Upward Mobility Training Agreement (to be completed following candidate selection)

4. Implementation: The selected candidate will progress through three general schedule grades based upon merit alone. Time in grade will only be required as a prequalifying requirement to examine whether sufficient technical merit exists to promote the employee. The position will initially be rated at the GS-3 level. Time in grade requirement for promotion to the GS-4 will be dependent upon the relative experience of the selected candidate, but in no event will it be less than six months.

Promotion to subsequent grades will be only considered after the incumbent has a unless the work is satisfactorily completed.

This Upward Mobility Position will be implemented using four parallel training and on-the-job training.

4.1 \_\_\_\_\_ This position requires an understanding of fundamental math and physical sciences. The employee will supplement or meet this perform work required by the position. Specific classes will be determined by the employee's level of education upon selection. The Corps will pay course tuition but no Correspondence courses will be considered if they are from an accredited school. The employee will be responsible to maintain scheduled progress on non-duty training schooling (high school or community college equivalent) or to be gained from new schooling are:

- Math
  
- Chemistry
  
- Basic computer skills

Duty-Hour Formal Training:  
required to perform duties associated with this position. Formal classes will be tracked

- 40 Hour Hazardous Waste Worker Health & Safety Training (with annual
  
- Environmental Laws and Regulation
  
- permitting)
  
- permitting)

- Environmental Sampling Techniques (several courses)
- Computer based Word Processing, Spreadsheet, and data base programs.

4.3 Duty-Hour Informal Training: The employee will receive specific training on various subjects in a less formal manner. This work will be differentiated from On-The-Job Training (OJT) as the employee will be strictly an observer as opposed to an active participant. To a certain extent, this includes just about every task that will be performed, but will also include:

- Site Reconnaissance
- Site Investigation
- Data Analysis and Evaluation and presentation
- Report Presentation
- Site Remediation and Construction:
  - excavation and backfill
  - paving
  - electrical and mechanical
- Drilling
- Foundation exploration
- Project budgeting
- Contracting methods and administration
- Field Work planning

4.4 On-The-Job Training: The majority of the employees knowledge, skills, and abilities to be gained will be through OJT. The employee will work closely with the senior environmental technician and other section disciplines to learn through doing and participation the duties associated with the position. Emphasis will be placed on enabling the employee to gain enough experience with specific tasks that they can then be independent of the senior technician in that task performance. In essence, while the senior technician maintains workleader responsibility, we will be able to cut the apron strings for certain tasks immediately. This will enable the employee to work more independently at tasks of increasing complexity throughout the UM Plan. It is expected

that some of these tasks will initially be done by rote, but as time passes, and experience deepens, the why of any given task will complement the how.

Specific Duties will include:

- AST Sampling
- UST Sampling
- Soil Sampling
- Sediment Sampling
- Drum Sampling
- Transformer Sampling
- Well Installation
- Groundwater Sampling
- Surface Water Sampling
- Sampling Equipment Procurement
- Consumable Equipment Inventory
- Field Work Cost Estimating
- Chain Custody Preparation
- Site Clearance and Liaison

5. Monitoring and Evaluation: In addition to mandated SPD-HR TAPES requirements, the employee's progress on the plan will be monitored and evaluated as indicated below:

- In year one, monthly meetings will be held between the employee, workleader and the supervisor to review accomplishments and plan (as much as can be foreseen) future tasks. In following years, these meetings will occur quarterly.
- Within three months of selection, the employee will develop a matrix of events, tasks, and training that are to be accomplished throughout this program. This matrix will be a flexible document subject to change and will initially be used as a part of the Training Agreement. The employee will mark progress on this table so that progression is easily visible.
- The employee will prepare an annual report to the Chief of Engineering Division describing events of the previous year and progress toward attainment of goals.

- Failure of the employee to perform in accordance with this plan will result actions in accordance with established Human Resources methods which will include PIP, and failure of that, removal from the position.

cc:

CESPD-HR

CESPK-ED-GB

Employee's Working Personnel File

# POSITION, MANAGEMENT AND CLASSIFICATION DIVISION

## INDEX

➤	<i>Position Management and Classification Division</i>
➤	<i>Introduction</i>
➤	<i>Why are Positions (Jobs) Classified?</i>
➤	<i>The Position (or Job) -- What is it?</i>
➤	<i>The Position versus the Employee</i>
➤	<i>Position Classification versus Pay</i>
➤	<i>Position Descriptions</i>
➤	<i>Primary Use of Position Descriptions</i>
➤	<i>Position Descriptions have other uses</i>
➤	<i>Standard of Adequacy for Position Descriptions</i>
➤	<i>Writing Position Descriptions</i>
➤	<i>Writing Specific Statements of Major Duties</i>
➤	<i>Responsibilities for Writing Position Descriptions</i>
➤	<i>Appeals</i>
➤	<i>Classification Standards</i>
➤	<i>How to Maintain a Classification Program</i>
➤	<i>Supervisor's Responsibility for Classification</i>
➤	<i>Position Management</i>
➤	<i>Objective of Position Management</i>
➤	<i>The Classifier's Role</i>
➤	<i>"Tips" for Supervisors</i>
➤	<i>Short Notes</i>

# POSITION, MANAGEMENT AND CLASSIFICATION

## SECTION IV

**POSITION MANAGEMENT AND CLASSIFICATION DIVISION:** The overall responsibility of this Division is to advise management on establishing and maintaining a position structure which achieves the best balance between economy, efficiency, skills utilization and employee development and, within the frame-work of governing statutes and regulations, to classify positions. Specific responsibilities are:

a. **POSITION MANAGEMENT:**  
The PM&C Division is the primary advisor to management on establishing and maintaining a sound and efficient position structure. The Division analyzes position structures, trends, and causes, and provides organization and position design and classification advice and assistance to managers and supervisors.

b. **JOB CLASSIFICATION AND EVALUATION:** The PM&C Division staff classifies and evaluates all civilian positions, ensuring position classification accuracy and consistency with established position and pay management regulations, standards, principles, and practices by scheduling and conducting reviews of positions and processing individual position action requests.

**INTRODUCTION:** As a supervisor, you have a very demanding job. Not only do you have to know your area of specialization, you must also know how to

and Position Management are two of the most difficult areas of Human Resources for supervisors and managers to understand and use. Too often the classification process is seen as an obstacle to effective personnel management when, in fact, it is your key to better use of your personnel resources. If you have any questions, call the Position Management and Classification Division (PM&C) at (916) 557-5164.

manage an organization. Classification

### **WHY ARE POSITIONS (JOBS)**

**CLASSIFIED?** Positions are classified for the same reason other things that have to be managed are classified -- books, hardware, airplanes, any large collection of things that are alike in some respects but differ in others. It would be poor management to try to operate a store or a library for example, if everything was piled together and mixed up. One of the first things a store manager must do is to sort out his stock, and put a label and price on each type of item. All like items are then placed in the same bin. Otherwise mistakes are made. Sorting his stock lets the manager set a standard price for all similar items. By treating items as a group, rather than as an individual item, the manager makes his work easier, gives better service, and saves operating costs, besides treating his customers equally. The same thing is true in managing personnel. Many positions are so alike they can be treated as groups, rather than individually. By grouping or "classifying" positions, it becomes possible to: Recruit qualified people, budget for personnel costs, establish effective organizations, and ensure accountability.

### **THE POSITION (OR JOB) -- WHAT IS IT?:**

1. An individual position is the basic unit of an organization. Controlling the position is your chief means of controlling the direction and pace of productive work effort. When occupied, the position becomes a "real thing" which gives life to an organization.

supervisors must follow applicable laws, regulations, policies and instructions. Responsibility for complying with such controls is a part of the supervisor's own position.

4. A position is changed the same way it is established. Making a substantial change in work assignment cancels an existing position and creates a new position. Changes in a position may be caused by (a) change in the work program, (b) change in methods of doing work, or (c) rearrangement of duties and responsibilities between positions.

5. A position may be established for a limited period of time (temporary) or for an indefinite period of time (permanent). It ceases to exist when it is canceled by the authority which created it, or by higher authority.

### **THE POSITION VERSUS THE EMPLOYEE:**

1. Only positions are classified, not employees. Therefore, in classifying a position only those factors are evaluated which relate to the position itself. Personal qualities of any person associated with the position, such as:

- a) Education and experience;
- b) Efficiency and general competence;
- c) Loyalty and cooperation;
- d) Length of service;

2. Work assignments to positions affect the structure and function of an organization as surely as the designs of individual parts effect the structure and function of a machine. Obviously you can see how important any position is in an organization.

3. A position has the following characteristics:

a) It is a group of all required, correct duties and responsibilities contained in a work assignment made by competent authority to be performed by an employee.

b) Being occupied or vacant does not in itself change a position's identity, character, or requirement.

c) It comes into being through the action of supervisors. It can be established only by one authorized to assign work to it. Positions are never created by position classifiers.

d) In establishing a position,

e) Sex or marital status; f) Race, color, creed or national origin are not evaluated.

2. Confusing the position with the employee occurs most frequently in promotion cases. An employee's present position cannot be changed to a higher grade simply because the employee has outstanding qualifications or ability, education and experience. The natural limitations of the work in a position frequently prevents it from being changed to promote an employee. In such cases, the only way to achieve promotion is through transfer to an entirely different

in work requirements and duties. In effect the old position changes to a new one.

b) New Office of Personnel Management Classification Standards are applied.

c) As a result of a Classification Appeal.

### **POSITION CLASSIFICATION VERSUS PAY:**

1. Employees naturally think of position classification only in connection with pay.

position, perhaps even to another unit. If this means losing the employee, that disadvantage is almost always outweighed by the accompanying advantages. No good supervisor wants to stand in an employee's way and prevent his or her deserved advancement. If the supervisor should, the employee may have good reason to be dissatisfied and this may have a bad effect on his/her work, and the work of others. On the other hand, when an employee leaves a unit due to advancement, he or she is made happy, and with a vacant position someone else within the unit can be promoted. A chain of promotions can often be started in this way, with beneficial effects on morale.

3. There is a distinct difference between promotions and upgrades. Although these terms are used interchangeably you should realize employees are promoted and positions are upgraded. Positions can only be upgraded under the following conditions:

a) If there is a substantial change

3. Not recognizing the distinction between classification and pay often leads to pressure to misclassify positions in attempts to solve pay problems. Basic principles of both classification problems can be solved within the framework of the classification plan and pay problems be solved within the framework of the payplan.

### **POSITION DESCRIPTIONS:**

Everyone at some time or another, deals with a position or job description (P.D. or J.D.).

Of all the purposes served by position classification, its aid in standardizing salaries affects the greatest number of employees in the most personal way. To understand position classification, however, you must recognize the difference.

2. A position classification system can exist without a systemized pay plan. Where the two exist together, either can and frequently is amended without affecting the other. For example, the President can set, grant or deny an annual pay raise without affecting the classification system, or the Office of Personnel Management (OPM) can issue new standards which affect the classification system without affecting pay.

relationship of a position sufficiently, clearly and definitively to provide information necessary for its classification when:

a. Considered by one familiar with the occupational fields involved and the application of pertinent classification standards, and

b. Supplemented by otherwise readily available and current information on the organization, functions, programs and procedures concerned.

## **PRIMARY USE OF POSITION**

**DESCRIPTIONS:** The primary use of position descriptions is to classify positions. By law, each position must be officially assigned a grade before the employee in the position can be paid. A position description is the official records that show the basis for the grade of each position.

## **POSITION DESCRIPTIONS HAVE**

**OTHER USES:** They are used to:

1. Determine qualifications requirements in connection with recruiting, placement and promotion.
2. Identify duplication or overlapping of work and supervisory responsibilities.
3. Inform applicants or employees about duty requirements and responsibilities.
4. Analyze training needs and develop training agreements.
5. Review job content in performance ratings.

## **STANDARD OF ADEQUACY FOR POSITION DESCRIPTIONS:**

1. A position description is adequate if it states the principal duties, responsibilities and supervisory
3. You, as a supervisor must ensure position descriptions are accurate. If an employees required to perform significant duties which are not described in the position description, or does not perform significant duties in the description, a

2. Position descriptions should not be task lists because it is impossible to include everything that must be done. In writing position descriptions, supervisors should include only major duties, that is, those that take up 10% or more of the employee's time or that require special qualifications (for example, stenography).

3. Avoid the use of ambiguous words, unless you define your meaning with examples. Examples of vague words and terms in this category are: Assists, Handles, Manages, Advises, Coordinates, Examines, Participates In, Prepares,

MISASSIGNMENT results. If the duties actually performed are not accurately documented in the position description, this misassignment frequently leads to errors in classification, as well as future problems. assigning additional duties should not exceed 30 days without some sort of documentation such as a detail or temporary promotion. If the duty will be a permanent assignment, you should take action to have the position description changed. When in doubt, always call your servicing classifier. The classifier will be able to tell you if adding or deleting is significant enough to change the position description.

### **WRITING POSITION**

**DESCRIPTIONS:** When faced with the need to write or revise a position description remember:

1. Narrative J.D.s should not typically exceed three or four pages. (Those written in Factor Evaluation System (FES) format should not exceed six to seven pages.) Position descriptions should be concise, factual and to the point.
2. Many J.D. changes can be handled as simple additions or deletions to the current description -- for example, delete major duty number 3; add the following, etc., In such cases, a completely new description does not have to be written. These are called "pen & ink" changes.
3. Talk to your classifier for advice on when to include specific examples of work, refining major duty statements, etc.

### **WRITING SPECIFIC STATEMENTS OF MAJOR**

Inspects and Administers.

4. Be factual! Present the facts in an accurate, complete and unvarnished manner. Do not comment on or draw conclusions from the facts. Avoid evaluative terminology such as: Complex, Very, Extensive, Difficult, Broad, Thorough, Highly, General, High Degree.

If such terms are necessary they must be supported with specific examples as back-up information to warrant using the term.

5. Be as brief as is consistent with completeness.

6. Describe real duties. Give the approximate amount of time of each major duty, when the duties are mixed in nature. This is usually done as a percent of time for each duty.

7. Avoid such terms as "does the more difficult work" or "works to fine tolerance." Specify the nature and give examples of the work done. Be as specific as possible. In the case of tolerance or precision limits, state them in mathematical terms.

**DUTIES:** Here are several hints for writing better duty statements:

1. Describe the major duties and responsibilities of the position in clear, understandable language using present tense, active voice.
2. Write in plain, straightforward, everyday English. Avoid unusual phraseology or terminology.
8. Be sparing in using statements such as "may perform a majority of the following duties." The purpose of the description is to show just what is actually required, not what conceivably may be required.
9. Identify any tools, machines, and equipment used. Indicate any special skills and training required which is not evident, such as making sketches, reading blueprints, and interpreting technical data and instructions.
10. Be careful in using the words "manage" or has "program responsibility." Often this is used in lower level jobs when in fact such responsibilities are really a supervisor or manager's job.

## **RESPONSIBILITIES FOR WRITING POSITION DESCRIPTIONS:**

As the supervisor, you are responsible for assigning duties and are, therefore, in the best position to describe those duties. You also sign the description certifying the duties are accurate. However, regulations also assign the classifier a responsibility for ensuring the accuracy of the position description. In cases where an audit

and will not change the actual duties you described. You may want to submit a double spaced draft of a J.D. on plan bond to your servicing classifier for an initial editorial review. However, the classifier will not classify a position unless it is in final form and certified (signed) by the supervisor. If you have any questions on the kind of format to use, call your servicing classifier or the PM&C Division at (916) 557-5164.

## **APPEALS:**

1. The classification system is not perfect, and as long as human beings are involved in it there will always be the chance for human error. If such an error has been made, the appeal procedure -- as a safety valve -- provides a means of bringing the error forward for correction.
2. A classification appeal is a challenge of the classifier's determination concerning only:
  - a) Pay plan (GS or WG);
  - b) Position title;
  - c) Occupational series; and
  - d) Grade
3. An employee can only appeal these

reveals facts other than those described by the supervisor, or where the J.D. includes duties not recognized as a function of the unit, the classifier is required to question and resolve these issues. In addition, the classifier may rewrite the description to ensure adequacy; that is, to ensure the information required to classify the job is in the position description. Do not be offended by editorial changes. Many times the classifier is eliminating unnecessary detail or reorganizing the statements of duties for clarity. The classifier cannot

4. An appeal must be based on a current and accurate description of duties and responsibilities, wherein an employee truly believes the classification is not correct or consistent with governing standards and guidelines. It cannot be the difference of duties and responsibilities as performed versus those officially assigned.

5. If you have any doubts about the classification of a subordinate position, talk it over with the classifier. Following this, if you are not convinced, or you cannot convince the employee the classification is correct, he or she may appeal. The classifier is available to advise in preparing the appeal, if requested.

6. You should realize, and advise your employees if needed an appeal need not and is not an adversarial procedure against the classifier. In fact, Classifiers would rather a supervisor or employee come in to discuss their classifications. It saves a lot of time and heartburn when everyone has the facts and understands

items. An employee cannot appeal the position description (that is a grievance), the Classification Standards or another position (he or she can only appeal the position he or she is officially assigned to).

(WG). This determines the appropriate pay plan. Then the classifier selects the series. After selecting the series the classifier determines the correct grade. The classification guidelines require a position to fully meet a grade level in all aspects before it can be assigned that grade. In other words (and with one exception) at least fifty (50) percent of the assigned duties must fully meet the grade level criteria. The exception is when special qualifications must be recruited for, in which case 25% of the position's duties must require those qualifications. This is why it is important for you, as a supervisor, to indicate the percentage of time for each major duty in a position description.

2. The classification standards can help you in a number of ways. For example, if you want to establish a new position, the easiest way to do so is to read the standards. The standards typically show sample duties, qualifications, grade levels, official titles, some career ladders, and other related information. All you have to do to read them is call the PM&C

the procedures.

### **CLASSIFICATION STANDARDS:**

1. You have often heard in talking with a Position Classification Specialist about classification standards, or "The Standard." What are they, and why are they important in classifying positions? Classification standards are the official criteria for determining position series and grade levels. No other criteria is permitted for determining a position's series and grade levels. When you provide the classifier with an accurate, signed and dated position description the classifier will then analyze the duties and responsibilities you have assigned the position, and will compare these with the classification standards. First the classifier determines if the position is General Schedule (GS) or Wage Grade

### **HOW TO MAINTAIN A CLASSIFICATION PROGRAM:**

There are two ways a good classification program is maintained: (1) Individual Action Request, and (2) Position Surveys. You, as a supervisor, have specific responsibilities under each of these methods.

1. **INDIVIDUAL ACTIONS:** When you note a significant change in the duties of an employee, you should prepare an amendment or new description so a classification action can be taken. The PM&C Division is available to help you in preparing the amendment, description or for discussing the probable effects of duty changes.

2. **SPECIAL CLASSIFICATION SURVEY:**  
A Position Classification Survey is a

Division. Another way the standards can help you is to provide you information in case one of your employees ask you how his or her position is graded.

3. In summary, the best thing to say about Classification Standards is that if you have not looked at them you are making your own job harder than necessary.

you with information regarding your organization to help you to correct any overlapping or inconsistencies which become apparent.

### **SUPERVISOR'S RESPONSIBILITY FOR CLASSIFICATION:**

You, the supervisor, are fully responsible for deciding what the duty and responsibility content of each position shall be. Line management may add, remove, or change assignments at any time. Thus, you are responsible for the currency, adequacy and accuracy of Position Descriptions.

1. Have your organization charted with an up-to-date organizational picture with good functional statements for each segment of the organization. This is necessary in order to see how each position/job fits into the total structure.

comprehensive review, by organization or positions, of the classification of the positions involved. Under this program, you are required to review the descriptions of all civilian employees and to redescribe those which, through oversight or unavoidable circumstances, had not been updated when their duties changed. There are two important points to remember here:

a. The survey plan is not intended to supersede the day-to-day method of keeping descriptions and assignments current.

b. The ideal situation is one in which all duty changes are reported as they occur, and there are not any to report on surveys. You, as a supervisor, should try to achieve this goal.

The value of the survey is it not only provides for current and accurate classification of positions, also provides

4. Finally, you are expected to practice Position Management. In short, you are responsible for ensuring all positions under you are needed and established in the most efficient and economical organizational structure to accomplish work. Your responsibility forestablishing a position does not stop once it has been proved it is essential. Questions can be raised in many situations on organization of work and assignment of duties, such as: excessive numbers of deputies and special assistants, establishment of assistant chiefs where there is no need, too many organizational boxes and supervisory positions in order to support grades, duplication of responsibilities, etc. Sound

2. Ensure your positions are accurately described and up to date. Unless this is done the program is built on a faulty foundation.

3. Review all positions/jobs "honestly" at least once each year. The best method of keeping the grades, titles or rating adequately current is to review all positions/jobs in your organization periodically.

(Ref. AFR 40-31).

### **OBJECTIVE OF POSITION MANAGEMENT:**

1. Your objective is to establish a position structure which achieves the proper balance of economy, efficiency, skills utilization, employee motivation, and employee development. Not all of these things can be achieved to the maximum in all organizations. Some will have more meaning and importance than others in your area, but by giving them careful consideration you can achieve the best balance among them.

2. Position management is not a

position management carries with it a concern for the essentiality of the positions and the organization structure, as well as accuracy of classification.

### **POSITION MANAGEMENT:**

1. By giving each of your employees specific responsibilities and specific duties to perform, you have established a "position" for each employee. All of these positions, considered in relation to each other, make up the "position structure" of your organization. From time to time, you may make changes in the individual positions or the total structure because of changes in mission, in work requirements, or in employees.

2. Position management is the term applied to positions, position structure, and the changes made from time to time. Position management is a continual responsibility of every supervisory although it may be more active in an organization where there are frequent changes in missions, or projects, or work requirements, than in a stable organization. The Air Force considers Position Management to be of such importance it requires all supervisors and managers (Military and Civilian) to be rated on their performance in this area

**THE CLASSIFIER'S ROLE:** The Position Classifier can help you in your position management effort. You should use the Position Classifier to evaluate the grade impact of possible changes in jobs before you initiate a request for personnel action. If this is not done, you are guessing at the result and the expected change may or may be achieved. In addition, the Position Classifier is

simple mechanical process. You must consider a number of factors. For example, while a lower cost structure is very important from the standpoint of economy, a higher cost may have to be accepted in a highly competitive labor market in order to recruit particular skills. Proper job classification, however, is the paramount requirement, and cannot be compromised. The creation of that higher structure, therefore, cannot be accomplished simply by placing higher grades on existing jobs; changes in the duties and responsibilities of the position must take place based on the true work requirement.

4. Avoid criticizing the classification system when talking with the classifier. He/she can't change it.

5. In presenting a case, do not talk about what private industry pays, how efficient and loyal the worker is, how much he or she needs the money, how capable he or she is, or how much overtime he/she puts in. The classifier is

trained to identify position structure problems and provide advice for improvements. The Classifier can get you needed assistance for other organizations; for example, staffing, training or labor relations. Involving your Classifier early in reorganization planning is essential. Effective position management requires joining efforts by line and staff.

### **"TIPS" FOR SUPERVISORS:**

Here are a few tips for supervisors regarding their responsibilities in Classification.

1. Realize Classification is an essential part of the Army Management Program. Make it a point to know enough about position classification so you can present and discuss classification cases based on valid issues. Be sure you know how to distinguish classification problems from pay problems and to distinguish issues pertinent to a position from those pertaining to its incumbent.

2. Beware of promising a promotion to an employee, or an appointment to an applicant, before you have a classified position to which he can be promoted or appointed. If you make such a promising prematurely, your prediction of the grade might be wrong.

3. Have the facts ready before the classifier comes to see you. Do not be content with answering questions. Try analyzing the duties yourself to determine the difficulties and responsibilities of the job, and be sure the classifier understands these features.

2. An employee should first ask their

not allowed to consider these things.

6. Since salaries are based upon grades, report any substantial change in duties so the worker who is really doing more responsible or difficult work receives what he earns.7. Don't help employees with filing an appeal. It might involve a conflict of interest or it may look like playing favorites.

8. When in doubt, call PM&C.

### **SHORT NOTES:**

#### **CLASSIFICATION APPEALS:**

1. If an employee believes that the pay plan (GS, WG, WS), title, series or grade of their position is wrong, they may appeal the classification. An appeal may be started at anytime by an employee. In appealing their position, an employee must provide a written statement saying what they believe is wrong, and why it is wrong according to the OPM classification standards.

### **POSITION CHANGES:**

supervisor to explain the classification of their position. If this is not satisfactory, they may call the PM&C Division for further explanation. If an employee still wishes to appeal, then a written statement should be provided. GS employees may appeal directly to the Office of Personnel Management in San Francisco; Wage Grade (WG, WS) employees must first appeal through DoD.

It is to everyone's benefit to go through the PM&C Division first in order to obtain complete information procedures. The result of a classification appeal may be changed in title, series or pay plan, and the position may be upgraded, downgraded or unchanged.

**POSITION AUDIT:** A position audit, sometimes called a job audit, is an interview between an employee and a Position Classification Specialist. The purpose of an audit is to discuss the accuracy of the position description and to obtain facts to clarify it. A position may be audited when there are any significant changes to the position description, or when new classification standards are issued which may affect the position.

1. The grade of a civilian position can only be changed if the position is reclassified, or if the requirements of the position have significantly changed.

2. A position is reclassified (without a major change in duties) if new standards are applied, there is a correction of a classification error, or as a result of an appeal decision.

**AVAILABLE TRAINING:** By necessity, this section cannot cover all there is to know about Classification. If you are really interested in learning more about Classification we can provide you with training, ranging from on-site training, to classroom training to correspondence courses. Just call us!

# MANAGEMENT-EMPLOYEE RELATIONS DIVISION

## INDEX

SUBJECT:	PAGE
➤ Overview: ➤ >Employee Services< ➤ >Communications< ➤ >Employee Counseling< ➤ >Employee Assistance Program< ➤ >Grievances and Appeals< ➤ >Personal Adverse Actions< ➤ >Labor-Management Relations<	1-3
➤ Total Army Performance Evaluation System (TAPES)	4-15
➤ Leave Administration	16-27
➤ Discipline	28-46
➤ Grievances	47
➤ Violence in the Workplace Policy	pamphlet
➤ Sample Correspondence for Supervisors	48-78
➤ Labor Management Relations	79-87

# MANAGEMENT-EMPLOYEE RELATIONS DIVISION

## SECTION V

The overall responsibility of this Division is to assist management in its day-to-day relations with employees and organizations of employees to help provide a positive work atmosphere leading to optimum productivity and employee satisfaction.

### **EMPLOYEE SERVICES:**

Evaluates availability and use of employee services and facilities in assigned segments in terms of employee needs; utilizes attitude survey data, supervisors surveys, manager comments, and other advice. Consults with managers and/or concerned staff officers as to possible changes, and advises as to possible additional services or improvements in services and facilities. Coordinates with managers, safety officer and employee development officer on safety training and adequate supervisor performance in accident prevention, and assists in safety publicity.

**COMMUNICATIONS:** Develops policies and plans on employee-management communication. Evaluates effectiveness of communication in serviced organizations, using statistics on employee reactions, surveys and supervisor interviews. Provides staff assistance and advice relating to two-way flow of information, use of informational media and staff meetings; and provides staff assistance on supervisor-employee consultation on work-type problems and

and employee services.

### **EMPLOYEE COUNSELING:**

1. Advises managers and supervisors on their basic responsibility for counseling employees through appropriate use of performance evaluation and recognition programs.
2. Provides a counseling service to employees on complaints or inquiries not referred by employees to supervisors; provides advice on personnel policy, administrative regulations, employee rights and services, and any other subjects not initially referred by employees through the supervisory line.
3. When the subject matter of an employee complaint or inquiry requires substantitive reply from another Division within the Directorate of Human Resources, either refers the employee to the appropriate organization or obtains information for the employee.

on broader questions of personnel policy

## **EMPLOYEE ASSISTANCE**

**PROGRAM:** The Employee Assistance Program (EAP) is a service which provides counseling and consultation to employees and their families. The EAP will provide diagnostic counseling and treatment referral to employees and their immediate family members. The employee problems to be covered include behavioral problems which may adversely impact job performance or behavior. The EAP services shall include:

- Acceptance of management, union, family or self-referrals where professional counseling is necessary.
- Evaluation of present problems.
- Referral to appropriate community treatment resources.
- Individual diagnostic counseling.
- Monitoring of employee progress.
- Management consultations as requested.

- An unresolved job performance

## **GRIEVANCES AND APPEALS:**

1. Develops local policies on this subject. Evaluates application of policy, identifies area of possible supervisor weakness. Provides assistance to managers on grievance and appeal cases.
2. Serves as an impartial investigator of employee complaints of management policies or working conditions. Investigates employees complaints,

The service is staffed by licensed counselors who specialize in assisting working people in the resolution of personal, family, marital and substance abuse problems. These counselors are available to meet with employees and their dependents. Once the problem is clearly understood, the counselor will assist the employee or dependent in obtaining whatever treatment is needed to resolve the problem. Generally the basis of a formal referral is:

- An unresolved job performance
- Conduct
- Attendance Problem
- SEE SAMPLE MEMO -- SAMPLE CORRESPONDENCE FOR SUPERVISORS.

\*\* Sample memo's of various correspondence \*\*

matters overall concern to establish bargaining units. Provides technical advice and assistance to management regarding its rights and obligations. Coordinates management activities in connection with unit questions, recognition of complaints under the Code of Fair Labor Organizations. Assures that necessary labor relations training is made available for staff and management

grievances or appeals.

### **PERSONAL ADVERSE ACTIONS:**

Develops local policies and plans on constructive discipline and personal adverse actions. Evaluates application of policy using attitude surveys, supervisor surveys, and program statistics; identifies areas of possible supervisor/employee practices which tend to cause dissatisfaction or make for improper conduct. Provides initial assistance on individual disciplinary actions, advising on DA penalty guides and assist managers in conducting pertinent inquiry; acts as central point of contact for disciplinary cases submitted to the Directorate of Human Resources for final action.

### **LABOR-MANAGEMENT RELATIONS:**

1. Develops and recommends plans, policies and procedures for Division/District administration of the Department of the Army labor relations programs and assures communication of DA and local policies and procedures to management and staff officials. Point of contact on labor-management relations

officials. Continuously evaluates effectiveness of local labor relations activities. Represents management or acts as co-counsel, before Merit Systems Protection Board (MSPB), Federal Labor Relations Authority (FLRA), Equal Employment Opportunity Commission (EEOC), and other third parties.

2. Ensures that Management's responsibility to consult with formally and exclusively recognized unions is carried out in a meaningful manner. Coordinates management consultation efforts on new and revised personnel policies to ensure involvement of appropriate management officials and staff subject matter specialists.

3. Serves as adviser to or as a member of negotiation committee. Assures the collection and analysis of experience under negotiated agreements and conducts special studies to develop management demands and/or respond to union demands at the bargaining table. Advise management on the interpretation and application of negotiated agreements to facilitate contract administration. Participates in the resolution of grievances and unfair labor practice complaints arising out of the application and/or interpretation of negotiated agreements.

## **TOTAL ARMY PERFORMANCE EVALUATION SYSTEM (TAPES)**

The Army's system for planning and appraising performance, the Total Army Performance Evaluation System (TAPES), is designed to improve Total Army

achievements, counseled and assisted in areas in which they can improve, encouraged to take responsibility for doing things better and to support team

performance by:

- a. Communicating organizational goals and priorities, and Army values and ethics to employees.
- b. Establishing individual expectations for performance that reflect organization goals and priorities.
- c. Facilitating frequent discussion among the ratee and the rating chain about performance, expectations, professional development, and DA values and ethics.
- d. Providing an environment where all understand that they are important members of the Army Team -- in which they are recognized for their

endeavors, and challenged to develop professionally and to perform at their full potential.

e. Requiring annual written individual performance evaluations and provide supervisors and managers with tools for:

(1) Systematic assessment of performance results achieved to make sound plans and decisions concerning compensation, training, rewards, reassignments, promotions, reductions in grade retention, reductions in force, and removal.

(2) A sound and continuing basis for effective supervisor-subordinate partnerships in pursuit of common goals.

## **BASE SYSTEM:**

### **EMPLOYEES COVERED BY THE BASE SYSTEM:**

GS/WS Employees -- Grades 1-8  
All WG Employees  
All WL Employees  
Employees at equivalent levels in other pay plans

### **RATING PERIOD:**

Birth Month  
1 March thru 28 Feb (SPL)

### **FORMS:**

Counseling Checklist (DA Form 7223-1)

Within the first 30 days of each rating period the rater schedules a counseling session with the ratee.

During the counseling session, the rater and the ratee discuss what needs to be accomplished during the rating period. Ratee may give input on type of training needed and work to be accomplished.

- Explain the rating chain
- Discuss the job description
- Discuss the area of special emphasis
- Discuss each value/responsibility
- Review any ratee written input
- Discuss what tasks you expect
- Discuss/resolve differences
- Give examples of excellence
- Discuss career goals and training needs

### **After Counseling:**

- Summarize key points
- Give ratee form

- Forward checklist through rating chain to senior rater
- Senior rater initials, dates, returns to rater
- Give ratee copy
- Rater keeps original

### **Mid-point Counseling:**

- Mandatory
- Discuss job requirements
- Discuss performance (be specific)
- Gives examples of excellence
- Discuss career goals/training

Base System Civilian Evaluation Report (DA Form 7223): (To be completed at the end of the rating period)

\*\* Refer to Page 4 -- Civilian Evaluation Report Checklist \*\*

## **RESPONSIBILITY RATING LEVELS:**

The Rater checks a rating block for each Responsibility after thinking about what and how well the Ratee did, as follows:

**EXCELLENCE:** Consistently exceeds level described by standards and documented expectations; frequently produces more and/or better than expected.

**SUCCESS:** Usually performs at the level described by the standards and documented expectations. Quality/quantity of accomplishments are generally at expected levels. Strengths clearly outweigh weaknesses.

**NEEDS IMPROVEMENT:** Sometimes performs at levels described by standards and documented expectations. However, fails enough so that weaknesses slightly outweigh strengths.

**FAILS:** Frequently fails to perform at levels described by standards and documented expectations. Rarely achieves expected results. Weaknesses clearly outweigh strengths.

\*\* reference pages 20-21 -- of the TAPES pamphlet

## **OVERALL PERFORMANCE**

**RATING DEFINITIONS:** The Senior rater assigns the overall rating. Following are the rating definitions:

**SUCCESSFUL LEVEL 1:** Achieved Excellence in 2 or more Responsibilities and success in all others. Supervisory positions must also achieve, in addition to the above, excellence in one of the two supervisory responsibilities.

**SUCCESSFUL LEVEL 2:** Achieved Excellence in 1 responsibility and success in all others. Supervisory positions must also achieve, in addition to the above, excellence in one of the two supervisory responsibilities.

**SUCCESSFUL LEVEL 3:** Achieved success in all responsibilities. Supervisors who are rated excellence in one or more responsibilities, and receive success in the supervisory responsibility, will receive Successful level 3.

**FAIR:** Rater needs improvement in 1 or more responsibilities.

(If the employee is performing at this level, refer to sub-section Vd regarding Performance Improvement Plans)

**UNSUCCESSFUL:** Rated fails in 1 or more responsibilities.

(If the employee is performing at this level, refer to sub-section Vd regarding Performance Improvement Plans)

**\*\* Reference pages 26-27 of the TAPES pamphlet \*\***

## CIVILIAN EVALUATION REPORT CHECKLIST

- RATER:**
- Rater completes Parts I & II of the Evaluation Report.
  - Rater verifies position description is correct and checks appropriate box on Evaluation Report.
  - Rater annotates the most important jobs and projects the Ratee worked on during the rating period
  - Rater annotates counseling dates from Checklist Record.
  - Rater completes Part V on Evaluation Report (Optional)
  - Rater rates each Responsibility: Excellence (E), Success (S), Needs Improvement (NI) or Fails (F)
  - Rater writes bullet examples of what the Ratee accomplished (Optional for Success ratings/Mandatory for other levels)
  - Rater signs & dates Evaluation Report in Part IIa

**SENIOR RATER:**

- Evaluation report given to Senior Rater for completion
- Senior Rater reviews Responsibilities and examples/commets of performance assigned by the Rater.
- Senior Rater checks appropriate Overall Performance rating block in Part VI. (Note: Senior Rater's rating and the Rater's rating must agree).
- Senior Rater provides short, concise bullet comments
- Senior Rater signs Evaluation Report in Part IIc
- Evaluation Report returned to Rater.
- Rater discusses the Evaluation Report with the Ratee

- RATER:**
- Rater has Ratee sign evaluation report in Part II d
  - Gives original Evaluation Report to Ratee.
  - Keeps copy

**\*\*IF THE RATER WANTS TO SUBMIT THE RATEE FOR AN AWARD, THE RATER MUST\*\***

- Make a copy of the COMPLETED and SIGNED Evaluation Report.
- On the COPY ONLY of the Evaluation Report, the Rater completes Part III.
- Submit to the approving official for approval.
- Provide the copy of the Evaluation Report with Part III completed along with the Support Form to Human Resources Area Office for processing.

## **SENIOR SYSTEM:**

### **EMPLOYEES COVERED BY THE SENIOR SYSTEM:**

SES, ST, SL, GS, WS,  
GM-13 & Above  
Career Interns  
GS/WS-09-12

### **RATING PERIOD:**

1 Jul - 30 Jun (Grades 13 and above)  
1 Nov - 31 Oct (Grades 9-12)

### **FORMS:**

Senior System Civilian Evaluation Report Support Form -- DA Form 222-1, May 93

New Support Form required within the first 30 days of each new rating period.

Ratee must be under Support Form for at least 120 days in order to be rated.

During the counseling session, rater and ratee discuss the ratee's major performance objectives.

- Explain the rating chain
- Discuss the job description
- Discuss the area of special emphasis
- Discuss each performance objective
- Discuss what tasks you expect
- Discuss/resolve differences
- Give examples of excellence
- Discuss career goals and training needs

### **After Counseling:**

- Summarize key points
- Give ratee form
- Forward support form through

rating chain to senior rater - Senior rater initials, dates, returns to rater

- gives ratee copy
- Support form is given to rater
- Rater keeps original

### **Mid-Point Counseling:**

- Mandatory
- Discuss job requirements
- Discuss performance (be specific)
- Gives examples of excellence
- Discuss career goals/training

Senior System Civilian Evaluation Report -- DA Form 7222, May 93: (To be completed at the end of the rating period)

\*\* Refer to Page 10 -- Evaluation Report Checklist \*\*

### **PERFORMANCE STANDARDS:**

(Everyone has at least 5)

- Technical/Competence
- Innovation/Initiative
- Responsibility/Accountability
- Working Relationships
- Communications

### **TYPES OF PERFORMANCE**

#### **OBJECTIVES:**

(Reference TAPES pamphlet, page 30)

**ROUTINE:** Objectives that address the repetitive and commonplace duties that must be carried out. These are duties that will produce less visible results, but will have serious consequences if not properly executed.

**PROBLEM SOLVING:** Objectives that provide for dealing with problems/situations. The objective should plan for or address potential problems so that time is available to deal with them without disrupting other objectives.

**INNOVATIVE:** Objectives that create new or improved methods of operation in the organization.

**PERSONAL DEVELOPMENT:** Objectives that further professional growth of an individual or his/her subordinates.

**FOR SUPERVISORY POSITIONS ONLY**  
**(2 Additional Standards):**

Organizational Management and Leadership

Equal Employment Opportunity/Affirmative Action

## **RESPONSIBILITY RATING**

### **LEVELS:**

**EXCELLENCE:** Consistently exceeds level described by standards and documented expectations; frequently produces more and/or better than expected.

**SUCCESS:** Usually performs at the level described by the standards and documented expectations. Quality/quantity of accomplishments are generally at expected levels. Strengths clearly outweigh weaknesses.

**NEEDS IMPROVEMENT:** Sometimes performs at levels described by standards and documented expectations. However, fails enough so that weaknesses slightly outweigh strengths.

**SUCCESSFUL LEVEL 3:** All Ratees who are rated Success in all rated objectives

**FAILS:** Frequently fails to perform at levels described by standards and documented expectations. Rarely achieves expected results. Weaknesses clearly outweigh strengths.

## **OVERALL PERFORMANCE**

**RATING DEFINITIONS:** The Senior rater assigns the overall rating. Following are the rating definitions:

**SUCCESSFUL LEVEL 1:** Ratee with no supervisory duties is rated Excellence in over 50% of Objectives and Success in remaining Objectives. Ratee with supervisory duties also must be rated Excellence on over 50% of ALL Objectives -- which must include Excellence ratings for either Organizational Management/ Leadership Objectives(s) or EEO/AA Objective(s) -- and Success in others.

**SUCCESSFUL LEVEL 2:** Ratee with no supervisory duties is rated Excellence in 25-50% of rated objective and Success in remaining objectives. Ratee with supervisory duties also must be rated Excellence in 25-50% of All objectives -- which must include Excellence ratings for either Organizational Management/ Leadership objective(s) or EEO/AA objective(s) and Success in others.

**UNSUCCESSFUL:** All Ratees rated Fails in 1 or more objective(s) -- regardless of

or Excellence in 1% through 24% and Success in remaining objectives. Ratees with supervisory duties who were rated Excellence in any number of objectives but Success in those for both Organizational Management/Leadership and EEO/AA.

FAIR: All Ratees who are rated Needs Improvement in 1 or more objective(s) and not rated Fails in any objective.

(If the employee is performing at this level, refer to sub-section Vd regarding Performance Improvement Plans)

ratings assigned other objectives

(If the employee is performing at this level, refer to sub-section Vd regarding Performance Improvement Plans)

\*\* Reference TAPES Pamphlet \*\*

## SENIOR SYSTEM EVALUATION REPORT CHECKLIST

**RATEE:**          Ratee submits Support Form to Rater with Significant Contributions annotated.

**RATER:**          Rater completes Parts I & II of the Evaluation Report.  
     Rater verifies position descriptions correct and checks appropriate box on Evaluation Report.  
     Rater summarizes the duties of the position in Part IV of Evaluation Report. (Copies from Support Form)  
     Rater reviews Support Form and rates each objective: Excellence (E), Success (S), Needs Improvement (NI) or Fails (F)  
     Rater completes Part V on Evaluation Report (Optional)  
     Rater totals rated objectives on Support Form and mark appropriate box in Part VIa (Evaluation Report)  
     Rater makes bullet comments in Part VIb for all objective ratings (except those rated success) (optional)  
     Rater signs & dates Evaluation Report in Part IIa

### **INTERMEDIATE**

**RATER:**          Intermediate Rater completes Part VII. (Optional)  
(If applicable)

### **SENIOR RATER:**

- Evaluation report given to Senior for completion
- Senior Rater reviews Support Form and Objective Rating
- Senior Rater checks appropriate Overall Performance rating block in Part VIIIa. (Note: Senior Rater's rating and the Rater's rating must agree).
- Senior Rater completes Senior Rater Profile in Part VIIIa.
- Senior Rater provides bullet comments in Part VIIIb.
- Senior Rater signs Evaluation Report in Part IIc.
- Evaluation Report returned to Rater.

**RATER:**          Rater discusses the Evaluation Report with the Ratee.  
     Rater has Ratee sign evaluation report in Part IId.  
     Gives original Evaluation Report and Support Form to Ratee  
     Keeps copy

- \*\*IF THE RATER WANTS TO SUBMIT THE RATEE FOR AN AWARD, THE RATER MUST\*\***
- Make a copy of the COMPLETED and SIGNED Evaluation Report.
  - On the COPY ONLY of the Evaluation Report, the Rater completes Part III.
  - Submit to the approving official for approval.
  - Provide the copy of the Evaluation Report with Part III completed along with the Support Form to Human Resources Area Office for processing.

# WORK SCHEDULING AND LEAVE ADMINISTRATION

## **ADMINISTRATIVE WORK WEEK:**

Sunday through Saturday (normally)

Five 8-hour days (Monday thru Friday)

Overtime -- hours in excess of 8 hours a day or 40 hours a week

## **ALTERNATIVE WORK SCHEDULE (AWS):**

Core Hours -- 0900 - 1500

Flexitime -- splits work day into two distinct kinds of time (core & flexible).  
Requirements:

Must be at work during core time

Must account for total number of hours scheduled for work each day

5-4/9 Plan -- Work 80 hours per pay period in less than 10 work days.

Supervisory approval

TDY -- scheduled day off taken within same pay period if possible; if not, taken following pay period.

Training -- work schedule must be changed back to a regular 8-hour (depending on the number of hours of training) for the pay period.

Annual and sick leave -- leave charged according to the number of hours that would normally have been worked.

## **Holidays:**

When a holiday falls on a day that an employee is regularly scheduled to work under either a compressed or flexible work schedule, the scheduled workday is the employee's holiday.

If the employee is covered by a compressed work schedule, the employee's holiday will comprise the number of hours the employee is regularly scheduled to work that day.

When a holiday falls on a nonworkday for an employee covered by a compressed work schedule and:

- The holiday falls on Sunday, the first regularly scheduled workday following the Sunday-holiday is the employee's in lieu of holiday.

The holiday is not a Sunday, the last regularly scheduled workday preceding the holiday is the employee's in lieu of holiday.

## LEAVE CATEGORIES

### ANNUAL LEAVE:

#### ACCRUAL:

- Part-time employees accrue in direct relation to the number of hours worked
- Full-time employees:

#### RATE OF ACCRUAL PER:

- (3 years & Under Federal service) 4 hours per pay period/13 days per year
- (3 - 14 years Federal service) 6 hours per pay period/20 days period year
- (15+ years Federal service) 8 hours per pay period/26 days period year

Employee Right

Supervisor has control on timing

Procedure -- Request leave as far in advance as possible, but not later than 2 hours of scheduled starting time.

#### Denial:

- Work/mission related
- Requesting procedures not complied with
- Supervisor should state reasons for denial.
- If leave is denied and employee did not report to work, supervisor may

have to show that the denial was appropriate.

#### Use or Lose:

- Scheduled before last 3 pay periods of leave year
- DE determines if exigency of business exists
- See memo

#### Procedure:

- Employee submits memo to request leave be restored
- Commander approves/ disapproves
- Human Resources approves/ disapproves
- Human Resources forwards memo to Payroll to have leave restored

### ADVANCED ANNUAL LEAVE --

cannot advance more than what the employee would earn by the end of the leave year (or appointment, whichever comes first).

#### Procedure:

- Employee submits memo to supervisor
- Supervisor approves/ disapproves
- Timekeeper provided copy of memo

Timekeeper forwards copy of memo to

subsequently discipline for  
absenteeism and supervisor will

payroll

CESPD (690)

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Use or Lose Annual Leave/Restored Annual Leave

1. Supervisors are reminded that annual leave in excess of 240 hours must be scheduled for use by the end of this leave year, 6 January 1996. With the reduction in staff, supervisors must carefully plan and schedule the workforce to ensure the workload is accomplished while allowing employees to use their "use or lose" annual leave and, if applicable, restored annual leave. Annual leave that was restored for leave year 1993, under the FY 93 DoD Restoration Act, must be scheduled and used by the end of this leave year, 6 January 1996.
2. Annual leave in excess of 240 hours must be scheduled to avoid the potential for leave forfeiture. Restoration of forfeited annual leave is controlled by AR 690-990-2, Book 630, Absence and Leave. In order to have "use or lose" annual leave restored, it must have been forfeited due to illness or an exigency of the public business.
3. If an employee's annual leave has been forfeited due to illness, two requirements must be met. First, the annual leave must have been scheduled and approved in writing three pay periods prior to the end of the leave year. The leave year ends 6 January 1996; therefore, leave must be scheduled and approved prior to 26 November 1995. A copy of an SF-71 or vacation schedule, approved by the supervisor, can be used to document this. Second, the absence is due to illness which occurred at such time that the scheduled annual leave could not be rescheduled for use before the end of the leave year to avoid forfeiture.
4. There are two regulatory requirements which must be met before annual leave, forfeited as a result of an exigency of the public business, may be restored. (Exigency is defined as "A pressing or urgent situation.") First, employee's annual leave must have been scheduled, and approved in writing, before the start of the third pay period prior to the end of the leave year. The leave year ends 6 January 1996; therefore, leave must be scheduled and approved prior to 26 November 1995. In addition, the following procedures are applicable:
  - a. The employee's immediate supervisor will forward, through the appropriate channels, a written request to their District/Division Commander that the mission priority/exigency be approved.
  - b. An exigency which may require cancellation of leave must be described in writing and must include the beginning and ending dates.

c. Except for extreme emergencies, the exigency must be approved prior to the time scheduled leave is cancelled, and there must be no reasonable alternative to the cancellation.

d. The mission priority/exigency, when approved, will form the basis for cancelling annual leave. If not approved, the employee shall be granted the annual leave so as to avoid forfeiture. Only those mission priorities/exigencies which receive approval may be used as a basis to cancel and subsequently restore forfeited annual leave.

5. Approval authority for restoration of annual leave rests with the Directorate of Human Resources (DHR). All situations must be documented carefully and completely and submitted to DHR. Every effort should be made to assure there is no reasonable alternative to the cancellation of previously approved leave.

6. If you have any questions regarding "use or lose" annual leave, or restored annual leave, please contact Linda Brown, Employee Relations Specialist at (916) 557-5136.

/s/

DAVID E. PEIXOTTO  
Colonel, EN  
Acting Commander

**SICK LEAVE:**

Accrual -- 4 hours per period (part-time employees earn 1 hour sick leave for every 20 hours in a pay status)

**Procedure:**

- Request leave as far in advance as possible but at least within 2 hours of scheduled starting time
- Absences for more than 3 consecutive work days should be supported by medical documentation
- Conditional Right
- Contagious
- Medical appointments
- Incapacitation
- Care for a family member (Family Friendly Sick Leave)
- To attend or make arrangements for a family members funeral (Family Friendly Sick Leave)

**Advanced Sick Leave:**

- Sick leave balance must be zero
- Deserving cases
- No documented Sick Leave Abuse
- 240 hours maximum
- Medical documentation must accompany each request:

- Diagnosis
- Dates of incapacitation
- Prognosis
- Return to Duty Date (RTD)
- Director, Human Resources approves/denies advance sick leave request.

**Procedure:**

- Request for advance sick leave submitted thru command channels to HR
- HR approves/disapproves request
- HR forwards memo to payroll

**Leave Usage Warning Letter:**

- Must counsel employee prior to issuing letter
- Document counseling session with memorandum (MFR) For Record
- May be cancelled at any time or extended if usage has not improved
- SEE SAMPLE MEMO -- CORRESPONDENCE FOR SUPERVISORS

## **FAMILY FRIENDLY LEAVE:**

Employees may request sick leave to (1) provide care for a family member as a result of physical or mental illness, injury, pregnancy, childbirth, or medical dental, or optical examination or treatment; (2) make arrangements necessitated by the death of a family member or to attend the funeral of a family member.

- **Family Member:** Includes spouse, parents, spouse's parents, children and their spouses, brothers and sisters and their spouses, any individual related by blood or affinity whose close association with the employee is the equivalent of a family member.
- **Limit on the amount of sick leave an employee may use:**
- Full-time employees may initially request up to 40 hours of sick leave per leave year. A full-time employee may request an additional 64 hours. However, to be entitled to these additional hours, the employee's sick leave balance cannot drop below 80 hours.
- Part-time employees or employees with uncommon tour of duty are covered as well, however, their entitlement is prorated on their hours of work.

### **Procedure:**

- Employees who are absent to care for a family member due to illness must notify the supervisor as early

- Employees shall request approval for sick leave in advance for the purpose of a family member receiving medical, dental or optical examination or treatment; and to the extent possible for providing care to a family member and in making funeral arrangements or attendance at a family member's funeral.
- In an emergency situation, notice from an employee's family member, or other responsible party will suffice until the employee is able to contact the supervisor to provide additional information.

## **FAMILY AND MEDICAL LEAVE**

### **ACT:**

#### **Entitlements:**

- Employees are entitled to a total of 12 administrative workweeks of UNPAID leave during any 12-month period for one of the following reasons:
- The birth of a child and the care thereafter; or
- The placement of a child for adoption or foster care; or
- The care of a spouse, child, parent (if such a person has a serious health condition); or

as practical on the first day of absence (generally within 2 hours of the employee's scheduled starting time). The employee shall follow-up with a written application for leave, SF-71.

A serious health condition of the employee that makes them unable to perform the essential functions of their position.Procedure:

- Request submitted to immediate supervisor (with documentation) Supervisor approves/disapproves
- If approved, SF-52 (if needed) submitted to HR to place individual on LWOP. (SF-52 for return to duty, should be submitted at this time also.) HR reviews and processes SF-52.

## **LEAVE FOR MATERNITY**

**REASONS:** There is no specific leave category called maternity leave. Absences for maternity reasons can be charged to sick leave, annual leave, family friendly leave, family medical leave, or leave without pay.

- Sick leave, family friendly leave, family medical leave -- all absences must be medically certified.
- Annual leave -- may be used when sick leave has been exhausted and/or to cover absences that are not medically certified that the employee is incapacitated for duty.
- Leave without pay -- may be used at expiration of all accumulated

### **Procedure:**

- Employee requests leave in advance.
- Submit medical documentation.
  - Medical documentation states reason and dates of incapacitation.
- For LWOP absences over 30 days, supervisor submits two SF-52's and documentation to Human Resources for approval (SF-52's -- (1) LWOP, (2) RTD).

## **LEAVE FOR PATERNITY**

**REASONS:** There is no specific leave category called paternity leave. Absences for paternity reasons can be charged to sick leave, annual leave, family friendly leave, family medical leave, or leave without pay.

- Male employee assists or cares for his minor children or mother of newborn child.

### **Proceudre:**

- Employee requests leave in advance.
- Supervisor approves/disapproves leave request.
- For LWOP absences over 30 days, supervisor submits two SF-52's

sick leave credits if the employee does not have sufficient annual leave or does not choose to use annual leave to cover the period of incapacitation.

### **LEAVE TRANSFER PROGRAM:**

- **Purpose:** Employees may donate annual leave to employees who are, or expected to experience a medical emergency.
- **Medical Emergency:** A medical condition of an employee (or a family member of an employee) that requires the employees to be absent from work for prolonged period of time which results in a substantial loss of income due to unavailability of paid leave.
- Absence from duty without paid leave is expected to last at least 24 hours.

### **Procedure:**

- **Leave Recipient:**
  - Employee submits CESP Form P032, Leave Recipient Request, to immediate supervisor with supporting medical documentation. (Medical documentation includes a diagnosis, dates of incapacitation, expected date of return, etc.)
  - Medical documentation will include the diagnosis, dates of incapacitation, expected date of return to date, etc.
  - Supervisor reviews request and determines if absence is approved. If approved,

and documentation to Human Resources for approval (SF-52's -- (1) LWOP, (2) RTD).

documents to area office.

- Area office reviews request for regulatory compliance and forwards request to respective DE for approval/disapproval.
- If approved, employee's co-workers are advised of the emergency situation and donations are solicited.

### **Leave Donor:**

- May donate no more than a total of one-half of the amount he/she would accrue during the leave year; or the hours remaining in the leave year, as of the date of transfer for which the leave donor is scheduled for work. Cannot transfer annual leave to immediate supervisor.
- Must specify name of leave recipient and exact number of hours to be donated to that individual.
- Must complete CESP Form P030, Leave Donor Request, and forward to Directorate of Human Resources.

### **Donated Leave:**

- May be substituted retroactively for periods of LWOP.
- May be used to liquidate an indebtedness for advanced annual or sick leave.

supervisor forwards

**LEAVE WITHOUT PAY (LWOP):** A temporary nonpay status and absence from duty may be granted at the employee's request.

- Approved leave status
- A gift -- not a right -- except:
  - Disabled veterans for medical appointments
- Maternity leave
- Paternity leave
- Military leave
- 60 to 90 days to follow head of household

**Procedure:**

- Employee requests leave in advance
- For absences over 30 days, supervisor submits two SF-52's and documentation to Human Resources for approval (SF-52s -- (1) LWOP, (2) RTD) or SF-52 resignation, if following head of household.
- RTD/resignation SF-52 will not be processed without clearance from supervisor.

**MILITARY LEAVE:** Civilian federal

- Unused donated leave will be returned to leave donors on a prorated basis.
- 15 calendar days per fiscal year
- Copy of orders
- More than 15 days? Annual leave, leave without pay
- Carryover maximum of 15 calendar days -- no more than 30 days military leave on the books at a time.
- To be eligible for military leave the employee must be:
  - Serving under a career or career-conditional appointment in the competitive service; or
  - Serving under an appointment in the excepted service that does not have a specified ending date.

**Procedure:**

- The Military order calling the employee to active duty is sufficient evidence for the initial authorization of military leave.
- Upon return to civilian duty, each employee will be required to furnish official proof of performance of the military duty.

**COURT LEAVE:** Court leave will be granted for an employee to attend judicial

employees are members of the Army Forces Reserve and who are called to active duty (or volunteer for active duty).

- Witness for Federal/State Government
- Documentation required -- court order and/or subpoena
- If necessary, change tour of duty

Procedure:

- When an employee is called for court services, either as a witness or a juror, the court order, subpoena, or summons, if one was issued, must be presented as far in advance as possible.
- Upon return to duty, written evidence of attendance at court is required, showing the dates (and hours if possible) of the service.

**EXCUSED ABSENCES (ADMINISTRATIVE LEAVE):**

Excused absence is time off without charge to leave or loss of pay.

- Blood donations -- up to 4 hours (including travel)
- Under ordinary circumstances, tardiness and unavoidable or necessary absences from duty or less than 1 hour may be either excused for adequate reasons or handled administratively by requiring additional work. (habitually tardy -- AWOL).

proceedings in a non-official capacity.

- Jury duty
- Taking examinations -- at the request of Human Resources, will be granted time off without charge against leave for the time necessary to take the exam.
- USACE Policy, takes examination for state license or certification in the profession in which the employee is serving (exclusion of travel time).
- Supervisor should use discretion in authorizing excused absence as there should be a need of the position or mission for the employee to obtain a license or certificate.
- Other -- on a case-by-case basis.

**ABSENCE WITHOUT OFFICIAL LEAVE (AWOL):** Absence from duty without authorization or approval by the supervisor.

- Unapproved absence from duty (15 minute increments)
- Non-pay status
- Possible disciplinary action? (counseling, letter of reprimand, suspension, removal?)

Procedure:

- Annotate CETAL
- Counsel Employee

## DISCIPLINARY ACTIONS

**PURPOSE:** Motivate employees to maintain reasonable standards of conduct.

### **Disciplinary Situations:**

- Some can be corrected by improved supervision, training, or talking things over with the employee.
- Performance deficiencies should not be handled by disciplinary action.
- Nip problems in-the-bud before they turn into something major.

### **Steps to taking Disciplinary**

#### **Actions:**

#### **Fact-Finding:**

- The five "W"s:
  - What
  - When
  - Where
  - Who
  - Why

#### **Determine if there is "just cause":**

- Adequate warning of consequences
- Rules reasonable related to efficient/safe operations
- Fact-finding produce substantial evidence or proof of guilt

- Rules and penalties applied evenly and without discrimination  
Determine type of action

- Contact an Employee Relations Specialist

### **Process of Taking Disciplinary**

#### **Action:**

- Supervisor proposes action by filling out SPD Form P031-R
- Employee receives notice of proposed action (except in Letter of Reprimands)
- Minimum notice period
- Reply period
- Employee receives notice of decision. Before making a final decision, the supervisor must consider the Douglas Factors. (See Douglas Factors)
- Sample CESPDP031-R

### **Employee Rights:**

- Right to advance notice
- Right to review the material relied upon to support the action
- Right to reply either orally or in writing
- Right to be represented

## WHEN AND HOW TO DISCIPLINE

- Knowing when and how to discipline an employee is one of the finer points of being a supervisor. Some never learn what truly is an art, and others take too long to learn about what being a supervisor really means. Avoiding administering discipline only aggravates the problem.
- This aspect of employer/employee relations must be conducted with extreme care and utmost respect. Corrective action is a more appropriate term than disciplinary action. The word "discipline" connotes punishment to many people. Correction, on the other hand, implies an attempt to cure a fault in work production or attitude that an employee has recently developed.
- Understanding the reason for sudden change in behavior or performance is difficult and knowing how to deal with it is perplexing. The manager might have genuine misgivings about getting involved in the problem of another adult, but as the boss who is held accountable for the productivity of subordinates, the manager or supervisor has an obligation not to ignore the matter.
- While the true purpose of disciplinary action is correction, there may be occasions when
  - correction should be preceded by some form of punishment as a way of driving home a point. Courts make the offender pay in time or money.
  - The extent of punishment must never be permitted to exceed the gravity of the offense. Often it is the thought of punishment, the severity, that is sufficient to get across the fact the employee is guilty of wrongdoing.
  - No overt action should be taken based solely on suspicion or hearsay, and all investigations should be confidential. In administering discipline, the following procedure is recommended:
    - (a) Identify the problem, gathering all available facts.
    - (b) Make certain there is common agreement on both sides.
    - (c) Listen to an explanation, considering all the circumstances.
    - (d) Discuss the situation thoroughly, trying to gain some understanding.
  - Proceed only when agreement is

- (g) Obtain concurrence of the decision as being appropriate and fair.
- (h) Explain your new course of action to all involved to avoid surprises.

## Types of Disciplinary Actions:

### Informal:

#### Oral Warning/admonishment:

- Situation minor in nature
- Major factor is good communication with employee/supervisor
- Documented with Memo for Record (MFR)

#### Letter of Warning:

- Situation minor in nature
- Oral warning documented by letter of warning -- more formal than an oral warning.
- Documented with Memo for Record (MFR)

### Withholding of Within-Grade

Increase: For an employee's performance to be determined at an acceptable level of competence, his or her current rating of record must be fully successful or better.

- Supervisors will ensure that their employees understand what constitutes an acceptable level of competence for their positions.
- If an acceptable level of

### Formal:

#### Written Reprimand:

- When more stringent disciplinary action is warranted than oral reproof.
- Remains in the employee's OPF for up to three years.
- SEE SAMPLE MEMO -- SAMPLE CORRESPONDENCE FOR SUPERVISORS

#### PROCEDURE:

- Supervisor contacts Employee Relations Specialist in HR area office.
- Submits completed Request for Disciplinary/ Adverse Action (CESPD-PO31-R)
- Provides MER specialist with facts/documentation regarding the incident.

at an acceptable level of competence.

#### Example:

- An employee receives a promotion to GS-6, step 1. Additionally, he or she is advised that he or she must perform at least at the fully satisfactory level in order to be performing at an acceptable level of competence.

competence has not been demonstrated, supervisors will do the following:

- Contact HR before completion of the waiting period and before issuance of a negative determination.
- Notify the employee, in writing, of his or her right to request reconsideration of the determination and the name of the person to whom he or she may submit the request.
- After a within-grade increase has been withheld, an agency may grant the within-grade increase at any time after it determines that the employee's performance is

#### Suspension:

- Places employee in an involuntary non-duty and non-pay status
- Deprives employee of income and agency of services
- Usually the third step in progression of discipline but depending on the offense could be the first step.
- SEE SAMPLE MEMO -- SAMPLE CORRESPONDENCE FOR SUPERVISORS

➤ The employee receives his or her performance appraisal and is rated marginally satisfactory.

➤ The waiting period ends and the employee's supervisor determines that the employee is not performing at an acceptable level of competence. Although the employee is performing at the minimum level of performance required to retain his or her position, he or she is not performing at the level designated as an acceptable level of competence (fully satisfactory). Therefore, the agency must notify the employee as soon as possible that his or her within-grade increase is being withheld.

➤ SEE SAMPLE MEMO -- SAMPLE CORRESPONDENCE FOR SUPRVS

#### Termination:

- Probationary employee has failed to perform adequately during the year of probation
- Employee is unable to perform satisfactorily or unable to meet conditions specified at the time of appointment.
- SEE SAMPLE MEMO -- SAMPLE CORRESPONDENCE FOR SUPERVISORS

Removal:

- Most severe disciplinary action
- Should be considered only for acts of circumstances of flagrant nature.
- SEE SAMPLE MEMO -- SAMPLE CORRESPONDENCE FOR SUPERVISORS

## PREPARING A PERFORMANCE IMPROVEMENT PLAN (PIP) GUIDANCE FOR SUPERVISORS

1. This guidance is provide to assist you in preparing a PIP and to inform you of the type of documentation needed to support the action. The purpose of a PIP is to provide the ratee with detailed guidance on the (objective(s) -- Senior System) or (responsibilities -- Base System) they are failing to meet and what needs to be done in order to bring their performance to the success level.

2. Raters must ensure ratees receive performance plans within 30 days of the beginning of their rating period. It is important to have the performance plan initialed and dated by the ratee, rater, and senior rater.

3. After the ratee has served at least 120 days under their approved performance plan, and they are failing in one or more objectives/responsibilities, the rater may decide to take a performance based action. If you decide to take a performance based action, ask yourself these questions:

a. Does the performance plan contain clearly defined performance expectations?

b. Are the results measurable and does the Ratee important to keep a folder containing the MFR(s), unacceptable work and documentation on the TAPES forms. If at the end of the rating period, the employee is ratee is rated "Needs Improvement" in one objective/responsibility, the overall rating will be level

5. The employee will not receive any

know what constitutes "Success"?

c. Have you discussed examples of work at the "Success" level?

d. Has the Ratee received all required training?

e. Have specific instances of performance below the "Success" level been brought to the Ratee's attention?

If you answered "Yes" to ALL of these questions, you are well prepared to proceed with a performance based action.

If you answered "No" to any of these questions and believe you have a poor performer, consult with an Employee Relations Specialist.

4. If the ratee is performing at the "Needs Improvement" level, you need to counsel the ratee on the performance plan or with a memorandum for record (MFR). During the discussion with the ratee, the rater must provide specific details/ examples or the unacceptable work. For example, if you gave the ratee a report to work on and it was unacceptable, you must discuss the problem and inform the ratee what needs to be done for acceptable performance. It is very

7. At the conclusion of the PIP, if the ratee has not improved to the success level, the ratee will be reassigned, changed to a lower grade, or removed from Federal service. If the ratee does bring their performance up to an acceptable level, they must maintain this acceptable level for one year.

within grade increases (WIGIs) during the time this rating is in effect.

If the ratee is failing an objective and a PIP is prepared, the rater must set up a meeting with the ratee to discuss and issue the PIP. The rater must explain to the ratee where they are failing and what needs to be accomplished to bring their performance to the success level.

6. During the PIP period, (usually 30-120 days) the rater must provide close supervisory guidance. The rater must keep records of all unacceptable performance. These copies must be kept for the case file if the ratee continues to fail the objective/responsibility. The rater must provide bi-weekly progress reviews, on-the-job training and other training classes if applicable. During a PIP, it is very important for the supervisor to maintain documentation on the ratees performance.

8. A rater does not need to wait until the end of the rating period to start a PIP. At any time (after the initial 120 days the employee is failing an objective/responsibility, under an approved plan, the rater should begin the PIP.

9. If you have any questions, please contact your Employee Relations Specialist.

## SENIOR SYSTEM

THIS FORM IS DESIGNED TO ASSIST YOU IN IDENTIFYING THE FAILED OBJECTIVES AND DA PERFORMANCE STANDARDS THAT RELATE TO THAT OBJECTIVE AND PROVIDE YOU GUIDANCE ON THE TYPE OF INFORMATION NEEDED TO DO THIS ACTION:

1. IDENTIFY THE OBJECTIVE THE EMPLOYEE IS FAILING:

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2. HOW DID THE EMPLOYEE FAIL: (LIST PROJECTS, DATES, ETC. PROVIDE SPECIFIC EXAMPLES OF WORK AND ATTACH TO THIS FORM):

DATE PROJECT TURNED IN:

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DATE PROJECT DUE:

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WAS THE PROJECT ACCEPTABLE: \_\_\_\_ YES \_\_\_\_ NO

DESCRIBE HOW THE PROJECT WAS NOT

ACCEPTABLE: \_\_\_\_\_

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DESCRIBE WHAT NEEDS TO BE DONE TO MAKE THE PROJECT ACCEPTABLE (BE SPECIFIC):

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WHAT APPLICABLE DA STANDARDS ARE ASSOCIATED WITH THIS OBJECTIVE: \_\_\_\_\_

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HOW DID THE EMPLOYEE FAIL THE DA STANDARD:

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WHAT DOES THE EMPLOYEE NEED TO DO TO IMPROVE ON THIS OBJECTIVE (BE SPECIFIC):

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\*\*\*\*\*IF THE EMPLOYEE FAILED MORE THAN ONE OBJECTIVE, YOU MAY REPRODUCE THIS FORM. EACH FAILED OBJECTIVE MUST BE COMPLETED ON A SEPARATE FORM.\*\*\*\*\*

\*\*\*\*\*IF YOU NEED GUIDANCE OR ASSISTANCE, PLEASE CONTACT YOUR EMPLOYEE RELATIONS SPECIALIST\*\*\*\*\*

BASE SYSTEM

THIS FORM IS DESIGNED TO ASSIST YOU IN IDENTIFYING THE FAILED DA RESPONSIBILITY, THE RELATED TASK, AND PROVIDE YOU GUIDANCE ON THE TYPE OF INFORMATION NEEDED TO DO THIS ACTION:

1. IDENTIFY THE DA RESPONSIBILITY THE RATEE IS FAILING:

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2. IDENTIFY THE TASK(S) THAT RELATE TO THAT RESPONSIBILITY:

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3. HOW DID THE RATEE FAIL: (List projects, dates, provide specific examples of work and attach to this form):

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DATE WORK TURNED IN \_\_\_\_\_

DATE WORK \_\_\_\_\_

DUE \_\_\_\_\_

WAS THE WORK  
ACCEPTABLE? \_\_\_\_\_

DESCRIBE HOW THE WORK WAS NOT

ACCEPTABLE: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. DESCRIBE WHAT NEEDS TO BE DONE TO MAKE THE WORK  
ACCEPTABLE, BE

SPECIFIC: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. WHAT TYPE OF TRAINING WILL BE PROVIDED TO THE  
RATEE: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*\*\*\*\*IF THE RATEE FAILED MORE THAN ONE RESPONSIBILITY, YOU MAY  
REPRODUCE THIS FORM. EACH FAILED RESPONSIBILITY MUST BE  
COMPLETED ON A SEPARATE FORM.\*\*\*\*\*

\*\*\*\*\*IF YOU NEED GUIDANCE OR ASSISTANCE, PLEASE CONTACT YOUR  
EMPLOYEE RELATIONS SPECIALIST\*\*\*\*\*

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Taking Performance Based Actions

1. The purpose of this memorandum is to give you a better understanding of the requirements for taking action against a poor performer.
2. A performance based action must be supported by substantial evidence (reasonable basis) rather than by a preponderance of evidence. Recent Merit Systems Protection Board decisions are establishing case law that is binding on agencies when taking performance based actions. The technical requirements identified below are based on this evolving case law.
  - a. Team members must have been given performance standards. They must also have been given a reasonable period of time (at least 120 days) to demonstrate acceptable performance. Since AR 690-400, chapter 4302, requires at least 120 days from receipt of the performance standards to the first written performance evaluation, it would be prudent to ensure that at least this period of time has elapsed between receipt of standards and the notice of unacceptable performance and opportunity to improve.
  - b. The performance objectives/responsibilities must be objective, realistic, reasonable, and clearly stated so that most people will generally understand what is required. There must also be a measurement or evaluation method that can be understood and demonstrated to a third party. The supervisor must also maintain a system for measuring or evaluating performance against these standards. You must be able to demonstrate any method of measurement or evaluation to a third party, such as a hearing official. You should review all of your subordinates' performance objectives/responsibilities to determine if they are reasonable and would be generally understood.
  - c. The team member must be performing unacceptably (not meeting the requirements of the written standard) in at least one performance objective/responsibility. If the objective/ responsibility has more than one standard, you must be able to show by substantial evidence how the summary element rating was arrived at and that the individual was aware or would have been CESPD-HR-M

SUBJECT: Taking Performance Based Actions

aware, of how the summary element rating was going to be arrived at.

d. Before any efforts can be made of to take the team member out of his/her position, the individual must be notified of his/her unacceptable performance and given an opportunity to improve. There must be reasonable evidence to support the supervisor's assessment that performance was unacceptable when the opportunity period begins. The notice must be in writing and must inform the team member of the following:

(1) the applicable performance objectives/ responsibilities which are not being met;

(2) the specific performance deficiencies;

(3) the period of time which will be allowed for improvement;

(4) the type of assistance that will be available to assist him/her in order to improve;

(5) if the individual is still performing at an unsatisfactory level at the end of the performance improvement period that he/she will be subject to reassignment, reduction-in-grade, or removal from Federal service; and

(6) if performance is satisfactory at the end of the performance improvement, he/she must maintain this level of performance for one (1) year (for the objective/responsibility the improvement plan was based).

e. The team member must be closely monitored during the opportunity period. The supervisor must document unacceptable performance and supervisory assistance during the opportunity to improve period. It is critical that the assistance identified in the improvement plan is provided.

f. If the team member's performance remains unacceptable at the end of the opportunity period, the supervisor must initiate action to remove the individual from the position. Based upon the performance deficiencies and the availability of a vacant position, the individual will receive a notice notifying him/her of his/her proposed reassignment, demotion, or removal.

g. In all instances, the deciding official will be the next level of supervision above the proposing official.

CESPD-HR-M

SUBJECT: Taking Performance Based Actions

3. A performance based action is not difficult if the technical requirements are respected. Because the technical requirements reflect good supervisory techniques, most supervisors should be prepared when and if they find it necessary to take appropriate action against a team member who will not or cannot meet reasonable expectations.

4. If one of your subordinates is a poor performer, please contact your Management-Employee Relations Specialist.

*/s/*

PATRICIA L. ANDREWS  
Director, Human Resources

DISTRIBUTION:

SPD 1  
DIST E  
DIST F  
SPN 1a

## IN SUMMARY

In virtually all disciplinary situations, just and proper cause for disciplining an employee exists when all of the below seven questions are answered "yes".

If even one of these seven questions is answered "no" in connection with a case, there is a good likelihood that the activity is not yet ready to take disciplinary action.

QUESTION I: Did the employee have foreknowledge of the possible disciplinary consequences of his/her conduct in the instant case?

QUESTION II: Was the activity rule or order reasonably related to the orderly, efficient and safe operation of the organization's business.

QUESTION III: Before administering discipline was an effort made to discover whether the employee did in fact disobey a rule or order of management?

QUESTION IV: Was the effort to discover the true facts fair and objective?

QUESTION V: Does there exist substantial evidence that the employee did violate the rule or order?

QUESTION VI: Does the handling of this case reflect evenhanded application of activity rules, orders and penalties?

QUESTION VII: Is the degree of discipline administered reasonably related to the seriousness of the offense and the employee's record of Federal

## FACTORS FOR DETERMINING APPROPRIATE PENALTIES (Douglas et al. v. Veterans Administration)

In its analysis on this issue, the Merit Systems Protection Board listed twelve factors which it specified were not "exhaustive", but were those "generally recognized as relevant." They include but are not limited to:

1. The nature and seriousness of the offense, and its relation to the employee's duties, position and responsibilities including whether the offense was intentional or technical or inadvertent, or was committed maliciously or for gain, or was frequently repeated;
2. The employee's job level and type of employment, including supervisory or fiduciary role, contacts with the public, and prominence of the position.
3. The employee's past disciplinary record;
4. The employee's past work record, including length of service, performance on the job, ability to get along with fellow employees and dependability;
5. The effect of the offense upon the employee's ability to perform at a satisfactory level and its effect upon the supervisor's confidence in the employee's ability to perform assigned duties;

... Moreover, aggravating factors on which

6. Consistency of the penalty with those imposed upon other employees of the same or similar offenses;
7. Consistency of the offense or its impact upon the reputation of the agency;
8. The notoriety of the offense or its impact upon the reputation of the agency;
9. The clarity with which the employee was on notice of any rules that were violated in committing the offense, or had been warned about the conduct in question;
10. Potential for the employee's rehabilitation;
11. Mitigating circumstances surrounding the offense such as unusual job tensions, personality problems, mental impairment, harassment, or bad faith, malice or provocation on the part of others involved in the matter; and
12. The adequacy and effectiveness of alternative sanctions to deter such conduct in the future by the employee or others.

The Board further stated that it would give greater deference to a decision notice which demonstrates "that the agency has considered all mitigating factors and has reached a responsible judgement that a lesser penalty is inadequate

explain what weight was given to those

the agency intends to rely for record, should be included in the advance notice or charges so that the employee will have a fair opportunity to respond to those alleged factors before the agency's deciding official, and the decision notice should

factors in reaching that agency's decision." (Douglas vs. VA). In light of that decision, the proposal notice for both 75B and 75D actions should address the relevant Douglas factors.

**\*\*\*SEE SAMPLE MEMO SAMPLE CORRESPONDENCE FOR SUPERVISORS\*\*\***

ADVERSE ACTION CHECKLIST  
FOR  
DECIDING OFFICIALS

1. Employee's Name: \_\_\_\_\_

2. Action Proposed: \_\_\_\_\_

3. Reply. Check one or more of the following :

The employee did not reply

The employee replied in writing (original is attached).

The employee replied orally (original of the MFR, \_\_\_\_\_ signed by the employee is attached).

4. Douglas Factors: The following factors may weigh for, or against, the employee in determining the appropriateness of a penalty for misconduct. Check any which are pertinent and which were considered in reaching a final decision.

The nature and seriousness of the offense and its relation to the employee's duties, position, and responsibilities, including whether the offense was intentional or technical or inadvertent, or was committed maliciously or for gain, or was frequently repeated.

The employee's job level and type of employment, including supervisory or fiduciary role, contacts with the public, and prominence of the position.

The employee's past disciplinary record.

The employee's past work record, including length of service, performance on the job, ability to get along with fellow workers, and dependability.

The effect of the offense upon the employee's ability to perform at a satisfactory level and its effect upon supervisors confidence in the employee's ability to perform assigned duties.

Consistency of the penalty with those imposed upon other employees for the same or similar offenses.

Consistency of the penalty with the DA Table of Penalties pertaining to

various offenses.

- The notoriety of the offense or its impact upon the reputation of the Department of the Army.
- The clarity with which the employee was on notice of any rules that were violated in committing the offense, or been warned about the conduct in question.
- The potential for the employee's rehabilitation.
- Mitigating circumstances surrounding the offense such as unusual job tensions, personality problems, mental impairment, harassment or bad faith, or malice or provocation on the part of others involved in the matter.

Specify: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- The adequacy and effectiveness of alternative sanctions to deter such conduct in the future by the employee or others.

Other: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Decision. After giving full and impartial consideration to the circumstances surrounding the proposed action, the employee's reply, and the following checked above, I have decided to (check one of the following):

- Cancel the proposed action in its entirety.
- Sustain the action as proposed.
- Reduce the penalty to \_\_\_\_\_

6. Additional comments:

\_\_\_\_\_ {Type

d Name, Title and Signature of Deciding Official} {Date}

## GRIEVANCE INFORMATION:

### ADMINISTRATIVE GRIEVANCE SYSTEM (AGS):

- A procedure that gives employees the opportunity to receive a fair, objective, thorough and prompt review of dissatisfactions with their working conditions, working relationships, or employment status. The AGS is available to non-bargaining unit employees. The AGS covers bargaining unit employees when a matter cannot be grieved under a negotiated grievance procedure.

### BARGAINING UNIT EMPLOYEE:

- A bargaining unit employee is one who is excluded in a appropriate exclusive bargaining unit as determined by the Federal Labor Relations Authority (FLRA). Bargaining unit employees may be covered under their own Negotiated Grievance Procedure (NGP).

### GRIEVANCE:

- A grievance occurs when an employee, or a group of employees acting as individuals requests personal relief in a matter of concern or dissatisfaction relating to the employment of the

6. Contents of job elements and standards or objectives.

7. Awards

8. Recruitment and relocation bonuses, retention allowances, supervisory

employee(s) which is subject to the control of agency management.

### PERSONAL RELIEF:

- Personal relief in a grievance is a specific remedy requested by a grievant on an employment-related dispute. Such requests must benefit the grievant(s) personally and may not include a request for a disciplinary action or some other action affecting another employee of the agency.

### MATTERS EXCLUDED FROM THE GRIEVANCE PROCEDURE:

1. The content of agency regulations.

2. Third party appeal/ grievance/complaint rights -- a dispute over a matter for which an employee has an entitlement to file an appeal, grievance, or formal challenge in some other forum may not be the subject of a grievance under the AGS.

3. Promotion decisions.

4. Proposed notices of warnings.

5. Unsatisfactory probationary/trial periods.

critical position pay, and waivers of dual compensation restrictions and, and

9. Expiration or termination of temporary personnel actions.

differentials,

## PREPARING A PERFORMANCE IMPROVEMENT PLAN (PIP) GUIDANCE FOR SUPERVISORS

1. This guidance is provided to assist you in preparing a PIP and to inform you of the type of documentation needed to support the action. The purpose of a PIP is to provide the Ratee with detailed guidance on the (objective(s) -- Senior System) or (responsibilities -- Base System) they are failing to meet and what needs to be done in order to bring their performance to the success level.

2. Raters must ensure Ratees receive performance plans within **30 days** of the beginning of their rating period. It is important to have the performance plan initialed and dated by the Ratee, rater, and senior rater.

3. After the ratee has served at least 120 days under their approved performance plan, and they are failing in one or more objectives/responsibilities, the rater may decide to take a performance based action. If you decide to take a performance based action, ask yourself these questions:

- a. Does the performance plan contain clearly defined performance expectations?      \_\_\_\_\_ yes      \_\_\_\_\_ no
- b. Are the results measurable and does the Ratee know what constitutes "success"?      \_\_\_\_\_ yes      \_\_\_\_\_ no
- c. Have you discussed examples of work at the "success" level?      \_\_\_\_\_ yes      \_\_\_\_\_ no
- d. Has the Ratee received all required training?      \_\_\_\_\_ yes      \_\_\_\_\_ no
- e. Have specific instances of performance below the "success" level been brought to the Ratee's attention?      \_\_\_\_\_ yes      \_\_\_\_\_ no

If you answered "yes" to **ALL** of the questions, you are well prepared to proceed with a performance based action. If you answered "no" to any of these questions and believe you have a poor performer, consult with an Employee Relations Specialist.

4. If the ratee is performing at the "needs improvement" level, you need to counsel the ratee immediately. The counseling session must be documented on the performance plan or with a memorandum for record (MFR). During the discussion with the ratee, the rater must provide specific details/examples on the unacceptable work. For example, if you gave the ratee a report

to work on and it was unacceptable, you must discuss the problem and inform the ratee what needs to be done for acceptable performance. It is very important to keep a folder containing the MFR(s), unacceptable work, and documentation on the TAPES forms. If at the end of the rating period, the employee is rated "needs improvement" in one objective/responsibility, the overall rating will be level 4. The employee will not receive any within grade increases (WIGIs) during the time this rating is in effect.

5. If the ratee is failing an objective and a PIP is prepared, the rater must set up a meeting with the ratee to discuss and issue the PIP. The rater must explain to the ratee where they are failing and what needs to be accomplished to bring their performance to the successful level.

6. During the PIP period, (usually 120-days) the rater must provide close supervisory guidance. The rater must keep records of all unacceptable performance. These copies must be kept for the case file if the ratee continues to fail the objective/responsibility. The rater must provide bi-weekly progress reviews, on-the-job training and other training classes if applicable. **DURING A PIP, IT IS VERY IMPORTANT FOR THE SUPERVISOR TO MAINTAIN DOCUMENTATION ON THE RATEES PERFORMANCE.**

7. At the conclusion of the PIP, (end of the 120 days) if the ratee has not improved to the success level, the ratee will be reassigned, changed to a lower grade, or removed from Federal service. If the ratee does bring their performance up to an acceptable level, they must maintain this acceptable level for one year.

**8. A RATER DOES NOT NEED TO WAIT UNTIL THE END OF THE RATING PERIOD TO START A PIP. AT ANY TIME (AFTER THE INITIAL 120 DAYS) THE EMPLOYEE IS FAILING AN OBJECTIVE/RESPONSIBILITY, UNDER AN APPROVED PLAN, THE RATER SHOULD BEGIN THE PIP.**

9. If you have any questions, please contact your Employee Relations Specialist.

### **SENIOR SYSTEM FORM**

This form is designed to assist you in identifying the failed objective and related DA performance standards and provide you guidance on the type of information needed to do this action:

1. identify the objective(s) the employee is failing:

\_\_\_\_\_

2. Identify the DA Performance Standard(s) that relates to the above objective: \_\_\_\_\_

- 
3. How did the employee fail: (list projects, list dates, provide specific examples of work and attach to this form.

---

---

---

Date work turned in: \_\_\_\_\_.  
Date work due: \_\_\_\_\_.  
Was the work acceptable: \_\_\_\_\_.  
Describe how the work was not acceptable: \_\_\_\_\_

---

---

---

4. Describe what the Ratee needs to do to make the work acceptable, be specific: \_\_\_\_\_
- 
- 
- 

5. How did the ratee fail the DA standards which are associated with this objective: \_\_\_\_\_
- 
- 
- 

6. What type of training will be provided to the ratee?
- 
- 
- 

If the employee failed more than one objective, you may reproduce this form. Each failed objective must be completed on a separate form. If you need guidance or assistance, please contact your Employee Relations Specialist.

## BASE SYSTEM FORM

This form is designed to assist you in identifying the failed DA responsibility, the related task, and provide you guidance on the type of information needed to do this action:

1. Identify the DA responsibility the Ratee is failing:

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---

2. Identify the tasks that relates to this responsibility:

---

---

3. How did the Ratee fail: (list projects, list dates, provide specific examples of work and attach to this form.

---

---

---

Date work turned in: \_\_\_\_\_.

Date work due: \_\_\_\_\_.

Was the work acceptable: \_\_\_\_\_.

Describe how the work was not acceptable: \_\_\_\_\_

---

---

---

4. Describe what needs to be done to make the work acceptable, be specific: \_\_\_\_\_

---

---

---

5. What type of training will be provided to the Ratee?

---

---

---

If the employee failed more than one responsibility you may reproduce this form. Each failed responsibility must be completed on a separate form. If you need guidance or assistance, please contact your Employee Relations Specialist.

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH HUMAN RESOURCES**

[OFFICE SYMBOL] [690-700a] [DATE]

MEMORANDUM FOR [NAME], USAED, [ORGANIZATION]

SUBJECT: Procedures for Considering Replies to Proposed Adverse or Disciplinary Actions

1. You have been named as the deciding official in the attached Notice of Proposed [WHAT], issued to [NAME], on [DATE].

2. [NAME] has a right to make an oral and/or written reply. [HIS/HER] reply is due close of business [DATE]. When you receive [NAME's] reply or [HE/SHE] contacts you to schedule an appointment to give an oral reply, you should contact [NAME], Employee Relations Specialist, at [EXTENSION].

3. In the reply, the employee has the right to offer an information on their behalf that relates to the charges contained in the Notice of Proposed [WHAT]. You must give full consideration to the employee's reply. If the employee chooses to give an oral reply, you must prepare a memorandum for record (MFR) summarizing the reply; give the employee the opportunity to make any corrections [HE/SHE] deems appropriate; and secure the employee's signature on the MFR attesting that it is an accurate summary of [HIS/HER] reply. If during the oral reply the employee raises the issue of discrimination, this fact must be included in the MFR. Please furnish a copy of any such MFR to this office. We recommend that you do not make or indicate a decision during the oral reply process or before the employee is presented the decision in writing.

4. The employee may request an extension of the reply period. You should obtain this request and the reason for the extension in writing. You should then determine if the extension is justified.

[OFFICE SYMBOL]

SUBJECT: Procedures for Considering Replies to Proposed Adverse or Disciplinary Actions

5. In addition to considering the employee's reply, the

following 12 factors, if applicable, should also be considered when making your decision.

- a. The nature and seriousness of the offense, and its relation to the employee's duties, position, and responsibilities including whether the offense was intentional or technical or inadvertent, or was committed maliciously or for gain, or was frequently repeated;
- b. The employee's job level and type of employment, including supervisory or fiduciary role, contacts with the public, and prominence of the position.
- c. The employee's past disciplinary record;
- d. The employee's past work record, including length of service, performance on-the-job, ability to get along with fellow workers, and dependability;
- e. The effect of the offense upon the employee's ability to perform at a satisfactory level and its effect upon supervisor's confidence in the employee's ability to perform assigned duties;
- f. Consistency of the penalty with those imposed upon other employee's for the same or similar offenses;
- g. Consistency of the penalty with any applicable agency table of penalties;
- h. The notoriety of the offense or its impact upon the reputation of the agency;
- i. The clarity with which the employee was on notice of any rules that were violated in committing the offense, or had been warned about the conduct in question;
- j. Potential for the employee's rehabilitation;

| [OFFICE SYMBOL]

SUBJECT: Procedures for Considering Replies to Proposed Adverse or Disciplinary Actions

k. Mitigating circumstances surrounding the offense such as unusual job tensions, personality problems, mental impairment, harassment, or bad faith, malice or provocation on the part of others involved in the matter;

l. The adequacy and effectiveness of alternative sanctions to deter such conduct in the future by the employee or others.

Not all of these factors will be pertinent in every case. In this individual's case, some of the pertinent factors will weigh in the employee's favor while others may not or may even constitute aggravating circumstances. Selection of an appropriate penalty must thus involve a responsible balancing of the relevant factors in the individual case.

6. Because of the possible impact of your decision on others, you must contact [NAME] Employee Relations & Development Specialist at [EXTENSION], before you make a final decision. This office will then prepare the decision letter for your signature.

Encl

[NAME]  
[CHIEF, MER]

**PROCEDURES FOR CONSIDERING REPLIES TO PROPOSED  
ADVERSE OR DISCIPLINARY ACTIONS**

**GUIDE FOR DECIDING OFFICIALS**

1. If you are the deciding official in an adverse action, the following guidance is provided for your information:

a. The team member has a right to make an oral and/or written reply to the proposed action. The reply is due close of business \_\_\_\_\_. When you receive the team member's reply he/she contacts you to schedule an appointment to given an oral reply, if you have any questions, you should contact your Employee Relations Specialist.

b. In his/her reply, the team member has the right to offer any information on his/her behalf that relates to the charges contained in the Notice of Proposed Action. You must give full consideration to the team member's reply. If the team member chooses to give an oral reply, you must prepare a Memorandum for Record (MFR) summarizing the reply; give the team member the opportunity to make any corrections he/she deems appropriate; and secure the team member's signature on the MFR attesting that it is an accurate summary of his/her reply. If during the oral reply the team member raises the issue of discrimination, this fact must be included in the MFR. Please furnish a copy of any such MFR to this office. We recommend that you do not make or indicate a decision during the oral reply process or before the team member is presented the decision in writing.

c. The team member may request an extension of the reply period. You should obtain this request and the reason for the extension in writing. You should then determine if the extension is justified.

d. In addition to considering the team member's reply, the attached 12 factors, if applicable, should also be considered when making your decision. Not all of these factors will be pertinent in every case. In this individual's case, some of the pertinent factors will weigh in the team member's favor while others may or may not even constitute aggravating circumstances. Selection of an appropriate penalty must thus involve a responsible balancing of the relevant factors in the individual case.

e. Complete the attached form answering the applicable factors. If the factor is not applicable indicate "not applicable" in the space provided.

2. After considering any reply the team member may have made, and the applicable Factors, indicate in the space provided below, your final decision. \_\_\_\_\_

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3. Provide this memo, along with the employee's reply, and the completed enclosure form to your Employee Relations Specialist. A final decision letter will be prepared by the Employee Relations Specialist for your signature. The final letter will be issued to the team member by you.

4. If you have any questions, contact your Employee Relations

\_\_\_\_\_  
(Employee Relations Specialist)

\_\_\_\_\_  
(Phone Number)

**12 FACTORS, if applicable, TO BE CONSIDERED IN MAKING A DECISION**

1. The nature and seriousness of the offense, and its relation to the team member's duties, position, and responsibilities, including whether the offense was intentional or technical or inadvertent, or was committed maliciously for gain, or was frequently repeated. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. The team member's job level and type of employment, including supervisory or fiduciary role, contacts with the public, and prominence of the position. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. The team member's past disciplinary record. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. The team member's past work record, including length of service, performance on-the-job, ability to get along with fellow workers, and dependability. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. The effect of the offense upon the team member's ability to perform at a satisfactory level and its effect upon supervisor's confidence in the team member's ability to perform assigned duties. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. Consistency of the penalty with those imposed upon other team members for the same or similar offenses. \_\_\_\_\_

\_\_\_\_\_

7. Consistency of the penalty with any applicable agency table of penalties. \_\_\_\_\_

\_\_\_\_\_

8. The notoriety of the offense or its impact upon the reputation of the agency. \_\_\_\_\_

\_\_\_\_\_

9. The clarity with which the team member was on notice of any rules that were violated in committing the offense, or had been warned about the conduct in question. \_\_\_\_\_

\_\_\_\_\_

10. Potential for the team member's rehabilitation. \_\_\_\_\_

\_\_\_\_\_

11. Mitigating circumstances surrounding the offense such as unusual job tensions, personality problems, mental impairment, harassment, or bad faith, malice or provocation on the part of others involved in the matter. \_\_\_\_\_

\_\_\_\_\_

12. The adequacy and effectiveness of alternative sanctions to deter such conduct in the future by the team members or others.

\_\_\_\_\_

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH**

## HUMAN RESOURCES

| [OFFICE SYMBOL] (690)

[DATE]

| MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Leave Usage Warning

1. A review of your leave record shows an apparent abuse of sick leave. This shows we cannot depend on your to report for work; thus someone else has to perform your assigned duties on short notice. This is unfair to the other people in this organization and cannot be condoned.

| 2. Your leave record indicates [ANALYSIS OF LEAVE RECORD].

3. In order to curb your excessive use of leave, you must take the following steps when you apply for leave. These steps are effective immediately upon receipt of this memorandum.

a. You must personally make all requests for sick leave each day you are absent from duty unless I instruct you to do otherwise.

b. You must request sick leave as early as possible, but it must be requested at least within two (2) hours after your shift begins. Any absence charged to sick leave or leave without pay (LWOP) will require a doctor's statement upon your return to duty no matter how long you have been absent. In order for this statement to be acceptable, the doctor's remarks must include:

- (1) A statement that your illness prevented you from working;
- (2) How your illness or injury prevented you from performing your assigned duties;

| [OFFICE SYMBOL]

SUBJECT: Leave Usage Warning

- (3) The day and/or time that your illness or injury prevented you from working;
- (4) A statement that during this time, you were totally incapacitated for any time of work;

including light, sedentary duties.

You must provide me with such a statement from your doctor within five (5) workdays after you return to duty.

c. All requests for sick leave will be made to me. I can be reached at [EXTENSION]. If for some reason you are unable to contact me, you must contact [NAME] at [EXTENSION].

4. Failure to comply with the provisions set forth in this memorandum may result in your absence being charged to Absence without Official Leave (AWOL); such a charge may also result in formal disciplinary action.

5. This memorandum is issued in order to encourage you to use your leave with more care. It will remain in effect for 90 days. If your leave usage improves, the requirements in this memorandum will be withdrawn. If not, I may extend them. In either case, you will be advised in writing.

[SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

| [OFFICE SYMBOL] (690) [DATE]

| MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Leave Usage Warning

| 1. Reference [DATE] memorandum subject: Leave Usage Warning,  
which you received on [DATE].

| 2. A review of your leave records indicates [WHAT].

| 3. Therefore, I have decided to extend the requirements of the  
Leave Usage Warning memorandum for an additional [NUMBER] days.  
The memorandum will remain in effect until [DATE]. If your leave  
usage improves as required, the requirements of the memorandum  
will be withdrawn. If not, I may extend them. In either case,  
you will be advised in writing.

| [SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

[OFFICE SYMBOL] (690-200) [DATE]

MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Official Letter of Reprimand

1. You are hereby officially reprimanded for [CHARGE].
2. The specific reason(s) for this reprimand [ARE/IS]:
3. Although not part of the specific reason(s) for taking this action, the following [IS/ARE] cited to show previous misconduct.

[LIST PREVIOUS COUNSELING SESSIONS/DISCIPLINARY ACTION, IF NONE, DELETE PARAGRAPH AND RENUMBER REMAINING PARAGRAPHS]

4. This action will improve the efficiency of the Federal service by impressing on you that this type of inappropriate behavior will not be tolerated. [DEPENDING UPON THE CHARGE(s), YOU MAY WANT TO EXPAND ON THIS.]
5. This Letter of Reprimand will remain in your Official Personnel Folder for a period of [NUMBER] year after which it will be removed prior to the end of the above indicated time if you transfer to a position outside the appointment authority of the Directorate of Human Resources or if you are separated.
6. The material upon which this action is based is enclosed.

| [OFFICE SYMBOL]

SUBJECT: Official Letter of Reprimand

7. You have the right to file a grievance on this decision under the Negotiated Grievance Procedure. Your grievance must be submitted within fifteen (15) calendar days from the date you received this memorandum; must be in writing; specify the issue(s) and the remedial action sought. It must be addressed to [NAME, TITLE, ADDRESS].

8. Equal Employment Opportunity Commission regulations provide that you have the right to appeal this action if you allege that the action was taken as a result of race, color, religion, sex, age, national origin, or handicapping condition. If you feel this action was taken for one of these reasons, you may elect to utilize the Army EEO complaint procedures. If you wish to file an EEO complaint, you must contact an EEO Counselor within 45 calendar days of receipt of this memorandum. In order to see an EEO counselor, you should contact the EEO Officer at [EXTENSION].

9. You may request up to four (4) hours of official duty time if you are otherwise in a duty status, to review the material relied on to effect this actions and to present your grievance. The request for use of official time or more time, if needed, should be coordinated with your immediate supervisor. If you have any questions about this matter, you may contact [NAME] Employee Relations Specialist at [EXTENSION].

| [SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

[OFFICE SYMBOL] (690-200) [DATE] |

MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION] |

SUBJECT: Withdraw of Official Letter of Reprimand

1. Reference [OFFICE SYMBOL] memorandum; subject: Official Letter of Reprimand, dated [DATE], which you received on [DATE]. |
2. This memorandum is to notify you that the referenced memorandum is hereby withdrawn. It is my determination that the letter is no longer required and I am having it withdrawn from your records.
3. If you have any questions regarding this matter, please contact me or [NAME] Employee Relations & Development Specialist at [EXTENSION] |

[SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

[OFFICE SYMBOL] (690) [DATE]

[EMPLOYEE]

[ADDRESS]

[CITY, STATE, ZIP]

Dear [SURNAME]

The purpose of this letter is to ascertain what your intentions are regarding your job as [POSITION TITLE, PAY PLAN, SERIES, GRADE] in the [ORGANIZATION].

[REASON]

I am, of course, concerned about you. If there is anything the Corps of Engineers or I can do to assist you, we need to know. In order to complete our assigned work, must be able to schedule the work load. To complete the work, we need to know that our team members are going to report for duty as scheduled.

If you do not plan to return to work and wish to resign, you should complete Part IV, "Employee Resignation" on the back of the attached Standard 52, Request for Personnel Action. You need to date and sign the form. You should return the Standard Form 52 in the prepaid envelope alone with your civilian identification card and any other government property you may possess.

Please contact me as soon as possible. You can reach me at [TELEPHONE NUMBER] during normal duty hours. If I do not hear from you by {DATE}, I will initiate action to terminate employment for excessive Absence without Official Leave (AWOL).

Sincerely,

[SUPERVISOR]

[TITLE]

Attachment

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

[OFFICE SYMBOL] (690)

[DATE]

MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Management Referral to Employee Assistance Program

1. We are concerned about the change in your performance which is at an unacceptable level as described in your performance plan.

2. In order to provide you with assistance in bringing your performance up to a satisfactory level, we are making a management referral to our Employee Assistance Program contract, Human Behavioral Associates (HBA). You are advised that this referral is not mandatory but, if interested, you should contact HBA at 1-800-937-7770 for an appointment. This appointment is at no cost to you. You may use approved leave in attending any sessions.

3. We want to stress that this referral is confidential and the only information that will be provided to us is if you make and keep an appointment with HBA.

4. Please be assured that this action is in the interest of your well-being and as a valued employee of the Corps of Engineers. If you have any questions, please contact me at [EXTENSION], or [NAME], Employee Relations & Development Specialist at [EXTENSION].

[SUPERVISOR]

[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

[OFFICE SYMBOL] (690-700a)

[DATE]

MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Notice of Proposed Removal

1. This is notice that it is proposed to remove you from your position of [POSITION TITLE, PAY PLAN, SERIES, GRADE] and the Federal service that earlier than 30 calendar days from the date you receive this notice for [OFFENSE].

2. The specific reason(s) for this proposed action [IS/ARE]:

[STATE REASONS]

3. Although not part of the specific reason(s) for taking this action, the following [IS/ARE] cited to show previous problems you have had and the attempts made to resolve these problems.

[LIST PREVIOUS COUNSELING SESSIONS/DISCIPLINARY ACTIONS, IF NONE, DELETE PARAGRAPH AND RENUMBER REMAINING PARAGRAPHS]

4. This action is proposed to improve the efficiency of the Federal service by removing an employee who [EFFICIENCY OF THE SERVICE STATEMENT]. Therefore, I find it necessary to propose your removal.

5. This action merely proposes your removal and does not mean that the action is final. You have the right to reply to this proposed action. You may make a reply in person, in writing, or both. You may submit any sworn statements and witnesses to support your reply.

[OFFICE SYMBOL]

SUBJECT: Notice of Proposed Removal

6. Your reply, if any should be made to [NAME OF DECIDING OFFICIAL, TITLE, ADDRESS]. Any reply you wish to make must be received within fourteen (14) calendar days from receipt of this memorandum. If needed, you may request more time in which to make your reply. Such a request should be in writing to [NAME OF DECIDING OFFICIAL] in which you should explain the reason(s) for your request.

7. The material upon which this proposed action is based is enclosed.

8. If you wish, you may have a Union representative or other representative act for you in discussion of this proposed action, or assist you in any reply you wish to make. You may request up to four (4) hours of official duty time, if you are otherwise in a duty status, to review the material relied upon to support this proposed action. The request for use of official time, or more time if needed, should be made to me. If you have any questions, you may contact [NAME], Employee Relations & Development Specialist at [EXTENSION].

9. In reaching a decision on this proposed action, any reply you make will be fully considered. A written decision will be issued to you whether or not you reply. You will remain in a duty status during the advance notice period unless you make yourself unavailable for work.

[SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

| [OFFICE SYMBOL] (690-700a) [DATE]

| MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

| SUBJECT: Notice of Decision [WHAT?]

| 1. Reference the Notice of Proposed Removal, dated [DATE], which you received on [DATE].

2. You elected not to exercise your right to the referenced notice.

**OR**

You met with me to provide both an oral and written reply to the referenced notice. After a thorough and comprehensive review of the case file, as well as the information presented by you in your reply, I find that the preponderance of evidence supports to charges contained in paragraph [NUMBER] of the referenced notice.

Therefore, it is my decision that you will be removed from your position of [TITLE, PAY PLAY, SERIES, GRADE], effective [DATE]. An SF-50, Notification of Personnel Action, is enclosed (forthcoming).

3. The material upon which this decision is based is enclosed.

4. You have the right to appeal this action to the Merit Systems Protection Board (MSPB):

a. On its merits; or,

b. If you allege that proper procedures have not been followed in processing this action; or

| [Office Symbol]

| SUBJECT: Notice of Decision -- [WHAT?]

c. If you allege that is action was taken as a result of race, color, religion, sex, age or national origin; that the

action was taken for partisan political reasons not required by law; or that the action resulted from discrimination because of marital status or handicapping condition.

d. If you elect to appeal this action to MSPB, it must be submitted, in writing, in accordance with the enclosed procedures, to Chief, Appeals Officer, Merit Systems Protection Board, 525 Market Street, San Francisco, California 94105. Your appeal must be received by MSPB within 30 calendar days after the effective date of this action. If you elect to file an appeal to MSPB, you must send two (2) copies of your appeal and any attachments to that office.

5. If you believe this personnel action discriminated against you on the basis of your race, color, religion, sex, national origin, age, handicapping condition, and/or reprisal, you may file a complaint of discrimination with the EEO Officer at [\[EXTENSION\]](#), or you may file an appeal with the Merit Systems Protection Board, as previously described. You may not, however, file both. Should you elect to file a complaint of discrimination, your complaint will be processed in accordance with Equal Employment Opportunity Commission regulations at Title 29, Code of Federal Regulations (CFR) Section 1613.401. Should you elect to file an appeal, your appeal will be processed in accordance with MSPB regulations at 5 CFR 1201.

6. You are to remain in an active duty status until the effective date of your removal unless annual or sick leave is approved. You may contact [\[NAME\], Employee Relations & Development Specialist at \[EXTENSION\]](#), for assistance or review of pertinent regulations if desired.

Encls

1. Case File
2. Appeal Form
3. 5 CFR 1201

[\[SUPERVISOR\]](#)  
[\[TITLE\]](#)

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

| [OFFICE SYMBOL] (690-700a) [DATE]

| MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Notice of Proposed Separation -- Disability

| 1. This is notice that it is proposed to separate you for  
| disability from your position of [POSITION TITLE, PAY PLAN,  
| SERIES, GRADE] and the Federal service not earlier than 30  
| calendar days from the date you receive this notice for [OFFENSE]

| 2. The specific reason(s) for this proposed action [IS/ARE]:

| a. [STATE REASONS]

| b. On [DATE], [NAME], Employee Relations & Development  
| Specialist, discussed your right to file for disability  
| retirement.

3. I must plan and schedule the work of my section. Your job  
requires a full-time person to do the work. In your absence, we  
have had to assign your duties to other people so that the work  
could be completed.

4. This action is proposed to improve the efficiency of the  
Federal service in that it is more advantageous to the government  
to fill jobs on a full-time basis with those who can report for  
duty and who perform all the duties of their position.

5. This action merely proposes your removal and does not mean  
that the action is final. You have the right to reply to this  
proposed action. You may make a reply in person, in writing, or  
both. You may submit any sworn statements and witnesses to  
support your reply.

| [OFFICE SYMBOL]

SUBJECT: Notice of Proposed Separation -- Disability

| 6. Your reply, if any should be made to [NAME OF DECIDING]

OFFICIAL, TITLE, ADDRESS]. Any reply you wish to make must be received within fourteen (14) calendar days from receipt of this memorandum. If needed, you may request more time in which to make your reply. Such a request should be in writing to [NAME OF DECIDING OFFICIAL] in which you should explain the reason(s) for your request.

7. The material upon this proposed action is based is enclosed.

8. If you wish, you may have a Union representative or other representative act for you in discussion of this proposed action, or assist you in any reply you wish to make. If you have any questions, you may contact [NAME], Employee Relations & Development Specialist at [EXTENSION].

9. In reaching a decision on this proposed action, any reply you make will be fully considered. A written decision will be issued to you whether or not you reply. You will remain in a duty status during the advance notice period unless you make yourself unavailable for work.

Encls

[SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

| [OFFICE SYMBOL] (690-700a) [DATE]

| MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Notice of Decision -- Separation - Disability

1. Reference the Notice of Proposed Separation - Disability, dated [DATE], which you received on [DATE].
2. You elected not to exercise your right to the referenced notice.

**OR**

You met with me to provide both an oral and written reply to the referenced notice. After a thorough and comprehensive review of the case file, as well as the information presented by you in your reply, I find that the preponderance of evidence supports the charges contained in paragraph [NUMBER] of the referenced notice. Therefore, it is my decision that you will be removed from your position of [TITLE, PAY PLAN, SERIES, GRADE], effective [DATE]. An SF-50, Notification of Personnel Action, is enclosed (forthcoming).

3. The material upon which this decision is based is enclosed.
4. You have the right to appeal this action to the Merit Systems Protection Board (MSPB):
  - a. On its merits; or,
  - b. If you allege that proper procedures have not been followed in processing this action; or

| [OFFICE SYMBOL]  
| SUBJECT: Notice of Decision -- [WHAT?]

- c. If you allege this action was taken as a result of race,

color, religion, sex, age or national origin; that the action was taken for partisan political reasons not required by law; or that the action resulted from discrimination because of marital status or handicapping condition.

d. If you elect to appeal this action to MSPB, it must be submitted, in writing, in accordance with the enclosed procedures, to Chief, Appeals Officer, Merit Systems Protection Board, 525 Market Street, San Francisco, California 94105. You appeal must be received by MSPB within 30 calendar days after the effective date of this action. If you elect to file an appeal to MSPB, you must send two (2) copies of your appeal and any attachments to that office.

5. If you believe this personnel action discriminated against you on the basis of your race, color, religion, sex, national origin, age, handicapping condition, and/or reprisal, you may file a complaint of discrimination with the EEO Officer at {EXTENSION}, or you may file an appeal with the Merit Systems Protection Board, as previously described. You may not, however, file both. Should you elect to file a complaint of discrimination, your complaint will be processed in accordance with Equal Employment Opportunity Commission regulations at Title 29, Code of Federal Regulations (CFR) Section 1613.401. Should you elect to file an appeal, your appeal will be processed in accordance with MSPB regulations at 5 CFR 1201.

6. You are to remain in an active duty status until the effective date of your removal unless annual or sick leave is approved. You may contact [NAME], Employee Relations & Development Specialist at [EXTENSION], for assistance or review of pertinent regulations if desired.

Encls

- 1. Case File
- 2. Appeal Form
- 3. 5 CFR 1201

[DECIDING OFFICIAL]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**  
**BARGAINING UNIT EMPLOYEES**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH**  
**HUMAN RESOURCES**

[OFFICE SYMBOL] (690-700a)

[DATE]

MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Notice of Proposed Suspension

1. This is notice that it is proposed to suspend you from work and pay for [NUMBER] calendar days not earlier than 14 calendar days from the date you receive this notice for [OFFENSE]

2. The specific reason(s) for this proposed action [IS/ARE]:

[STATE REASONS]

3. Although not part of the specific reason(s) for taking this action, the following [IS/ARE] cited to show previous problems you have had and the attempts made to resolve those problems.

[LIST COUNSELING SESSIONS/PREVIOUS DISCIPLINARY ACTIONS, IF NONE, DELETE PARAGRAPH AND RENUMBER REMAINING PARAGRAPHS].

4. This action is proposed to improve the efficiency of the Federal service by suspending an employee who [EFFICIENCY OF HE SERVICE STATEMENT]. Therefore, I find it necessary to propose your suspension.

5. This action merely proposes your suspension and does not mean that the action is final. You have the right to reply to this proposed action. You may make a reply in person, in writing, or both. You may submit any sworn statements and witnesses to support your reply.

[OFFICE SYMBOL]

SUBJECT: Notice of Proposed Suspension

6. Your reply, if any should be made to [NAME OF DECIDING OFFICIAL, TITLE, ADDRESS]. Any reply you wish to make must be received within fourteen (14) calendar days from receipt of this memorandum. If needed, you may request more time in which to make your reply. Such a request should be in writing to [NAME OF DECIDING OFFICIAL] in which you should explain the reason(s) for your request.

7. The material upon which this proposed action is based is enclosed.

8. If you wish, you may have a Union representative or other representative act for you in discussion of this proposed action, or assist you in any reply you wish to make. You may request up to four (4) hours of official duty time, if you are otherwise in a duty status, to review the material relied upon to support this proposed action. The request for use of official time or more time if needed, should be made to me. If you have any questions, you may contact [NAME], Employee Relations & Development Specialist, at [EXTENSION].

9. In reaching a decision on this proposed action, any reply you make will be fully considered. A written decision will be issued to you whether or not you reply. You will remain in a duty status during the advance notice period unless you make yourself unavailable for work.

Encl

[SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

| [OFFICE SYMBOL] (690-700a) [DATE]

| MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

| SUBJECT: Notice of Decision -- [WHAT?]

| 1. Reference the Notice of Proposed Suspension, dated [DATE],  
| which you received on [DATE].

2. You elected not to exercise your right to the referenced  
notice.

**OR**

You met with me to provide both an oral and written reply to  
the referenced notice. After a thorough and comprehensive review  
of the case file, as well as the information presented by you in  
your reply, I find that the preponderance of evidence supports  
| the charges contained in paragraph [NUMBER] of the referenced  
| notice; therefore, the charges are sustained and warrant your  
| suspension from work and pay effective [DATE]. You are to return  
| to duty on [DATE]. AN SF-50, Notification of Personnel Action,  
| is enclosed [forthcoming].

3. You are advised that future incidents of this nature may  
result in more severe disciplinary actions.

4. You have a right to file a grievance on this action under  
| [Article 4 of the Negotiated Agreement between NFFE Local 86 and  
| the San Francisco District]. If you file a grievance it must be  
| submitted within fifteen (15) calendar days of the effective date  
| of this action and be addressed to [NAME, TITLE, ADDRESS]. You  
| must state the issue(s) involved, the corrective or remedial  
| action, sought, if you have filed an Equal

[OFFICE SYMBOL]

SUBJECT: Notice of Decision [WHAT?]

Employment Opportunity complaint. You are not required to have a representative, but if you decide to have one, it must be a Union representative.

5. The material upon which this decision is based is enclosed.

6. You have the right to appeal this action to the Merit Systems Protection Board (MSPB);

a. On its merits; or,

b. If you allege that proper procedures have not been followed in processing this action; or

c. If you allege that this action was taken as a result of race, color, religion, sex, age or national origin; that the action was taken for partisan political reasons not required by law; or that the action resulted from discrimination because of marital status or handicapping condition.

d. If you elect to appeal this action to MSPB, it must be submitted, in writing, in accordance with the enclosed procedures, to Chief, Appeals Officer, Merit Systems Protection Board, 525 Market Street, San Francisco, California 94105. Your appeal must be received by MSPB within 30 calendar days after the effective date of this action. If you elect to file an appeal to MSPB, you must send two (2) copies of your appeal and any attachments to that office.

7. If you believe this personnel action discriminated against you on the basis of your race, color, religion, sex, national origin, age, handicapping condition, and/or reprisal, you may file a complaint of discrimination with the EEO Officer at [EXTENSION], or you may file an appeal with the Merit Systems Protection Board, as previously described. You may not, however, file both. Should you elect to file a complaint of discrimination, your complaint will be processed in accordance with Equal Employment Opportunity Commission regulations at Title 29, Code of Federal Regulations (CFR) Section 1613.401. Should you elect to file an appeal, your appeal will be processed in

[OFFICE SYMBOL]

SUBJECT: Notice of Decision [WHAT?]

accordance with MSPB regulations at 5 CFR 1201.

8. You are to remain in an active duty status until the effective date of your suspension unless annual or sick leave is approved. You may request up to four (4) hours of official time, if you are otherwise in a duty status, to review the material relied on to effect this action. The request for use of official time or more time, if needed, should be coordinated with your immediate supervisor. You may contact [NAME], Employee Relations & Development Specialist at [EXTENSION], for assistance or review of pertinent regulations if desired.

Encls

1. Case File
2. Appeal Form
3. 5 CFR 1201

[DECIDING OFFICIAL]

[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO  
SPK/NON-BARGAINING UNIT EMPLOYEES**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

[OFFICE SYMBOL] (690-700a) [DATE]

MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Notice of Proposed Suspension

1. This is notice that it is proposed to suspend you from work and pay for [NUMBER] calendar days not earlier than 14 calendar days from the date you receive this notice for [OFFENSE]

2. The specific reason(s) for this proposed action [IS/ARE]:

[STATE REASONS]

3. Although not part of the specific reason(s) for taking this action, the following [IS/ARE] cited to show previous problems you have had and the attempts made to resolve those problems.

[LIST COUNSELING SESSIONS/PREVIOUS DISCIPLINARY ACTIONS, IF NONE, DELETE PARAGRAPH AND RENUMBER REMAINING PARAGRAPHS].

4. This action is proposed to improve the efficiency of the Federal service by suspending an employee who [EFFICIENCY OF HE SERVICE STATEMENT]. Future incidents of this nature could result in a more severe disciplinary action.

5. This action merely proposes your suspension and does not mean that the action is final. You have the right to reply to this proposed action. You may make a reply in person, in writing, or both. You may submit any sworn statements and witnesses to support your reply.

| [OFFICE SYMBOL]

SUBJECT: Notice of Proposed Suspension

| 6. Your reply, if any should be made to [NAME OF DECIDING OFFICIAL, TITLE, ADDRESS]. Any reply you wish to make must be received within fourteen (14) calendar days from receipt of this memorandum. If needed, you may request more time in which to make your reply. Such a request should be in writing to [NAME OF DECIDING OFFICIAL] in which you should explain the reason(s) for your request.

7. The material upon which this proposed action is based is enclosed.

8. If you wish you may have a representative act for you in discussion of this proposed action, or assist you in any reply you wish to make. You may request up to four (4) hours of official duty time, if you are otherwise in a duty status, to review the material relied upon to support this proposed action; to secure statements; and to prepare your reply to this notice. The request for use of official time, or more time if needed, should be made to me. If you have any questions about this notice, you may contact [NAME], Employee Relations & Development Specialist, at [EXTENSION].

9. In reaching a decision on this proposed action, any reply you make will be fully considered. A written decision will be issued to you whether or not you reply. You will remain in a duty status during the advance notice period unless you make yourself unavailable for work.

| Encl

[SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**  
**14 DAYS OR LESS**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

[OFFICE SYMBOL] (690-700a) [DATE]

MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Notice of Decision -- [WHAT?]

1. Reference the Notice of Proposed Suspension, dated [DATE], which you received on [DATE].
2. You elected not to exercise your right to the referenced notice.

**OR**

You met with me to provide both an oral and written reply to the referenced notice. After a thorough and comprehensive review of the case file, as well as the information presented by you in your reply, I find that the preponderance of evidence supports the charges contained in paragraph [NUMBER] of the referenced notice; therefore, the charges are sustained and warrant your suspension from work and pay effective [DATE]. You are to return to duty on [DATE]. AN SF-50, Notification of Personnel Action, is enclosed [forthcoming].

3. I find the offense with which you were charged to be [STATE JUSTIFICATION]. You are hereby advised that future incidents of this nature may result in a more severe disciplinary action.
4. You have the right to file a grievance on this action under the Department of Defense Administrative Grievance System. Your grievance must be submitted within fifteen (15) calendar days of the effective date of this action. Your grievance must be addressed to [NAME, TITLE, ADDRESS]. You must state the

| [OFFICE SYMBOL]

| SUBJECT: Notice of Decision [WHAT?]

issue(s) involved, the correction ore remedial action sought, that you have or have not filed an EEO complaint, and the identify of your representative, if any.

5. Equal Employment Opportunity Commission regulations provide that you have the right to appeal your suspension if you allege that the action was taken as a result of race, color, religion, sex, age, national origin, or handicapping condition. If you feel this action was taken for one of these reasons, you may elect to utilize the Army's EEO complaint procedure. If you wish to file an EEO complaint, you must contact an EEO counselor within 45 calendar days of receipt of this action. In order to seen an EEO counselor, you should contact the EEO Officer at [EXTENSION].

7. The material upon which my decision is based is enclosed. This material is in addition to the case documents provided to you on [DATE].

| Encl

[DECIDING OFFICIAL]

[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO  
OVER 14 DAYS**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

[OFFICE SYMBOL] (690-700a) [DATE]

MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Notice of Decision -- [WHAT?]

1. Reference the Notice of Proposed Suspension, dated [DATE], which you received on [DATE].
2. You elected not to exercise your right to the referenced notice.

**OR**

You met with me to provide both an oral and written reply to the referenced notice. After a thorough and comprehensive review of the case file, as well as the information presented by you in your reply, I find that the preponderance of evidence supports the charges contained in paragraph [NUMBER] of the referenced notice; therefore, the charges are sustained and warrant your suspension from work and pay effective [DATE]. You are to return to duty on [DATE]. AN SF-50, Notification of Personnel Action, is enclosed [forthcoming].

3. I find the offense with which you were charged to be [STATE JUSTIFICATION]. You are hereby advised that future incidents of this nature may result in a more severe disciplinary action.

4. You have a right to file a grievance on this action under the Department of Defense Administrative Grievance System. Your grievance must be submitted within fifteen (15) calendar days of the effective date of this action. Your grievance must be addressed to [DECIDING OFFICIAL] at [EXTENSION].

[OFFICE SYMBOL]

SUBJECT: Notice of Decision [WHAT?]

You must state the issue(s) involved, the corrective or remedial

action, sought, that you have or have not filed an EEO complaint, and the identify of your representative, if any.

5. Equal Employment Opportunity Commission regulations provide that you have the right to appeal your suspension if you allege that the action was taken as a result of your race, color, religion, sex, age, national origin, or handicapping condition. If you feel this action was taken for one of these reasons, you may elect to utilize the Army's EEO complaint procedure. If you wish to file an EEO complaint, you must contact an EEO counselor within 45 calendar days of receipt of this action. In order to see an EEO counselor, you should contact the EEO Officer at [\[EXTENSION\]](#).

6. You have the right to appeal this action to the Merit Systems Protection Board (MSPB);

a. On its merits; or,

b. If you allege that proper procedures have not been followed in processing this action; or

c. If you allege that this action was taken as a result of race, color, religion, sex, age or national origin; that the action was taken for partisan political reasons not required by law; or that the action resulted from discrimination because of marital status or handicapping condition.

d. If you elect to appeal this action to MSPB, it must be submitted, in writing, in accordance with the enclosed procedures, to Chief, Appeals Officer, Merit Systems Protection Board, 525 Market Street, San Francisco, California 94105. Your appeal must be received by MSPB within 30 calendar days after the effective date of this action. If you elect to file an appeal to MSPB, you must send two (2) copies of your appeal and any attachments to that office.

[\[OFFICE SYMBOL\]](#)

SUBJECT: Notice of Decision [\[WHAT?\]](#)

7. If you believe this personnel action discriminated against you on the basis of your race, color, religion, sex, national origin, age, handicapping condition, and/or reprisal, you may file a complaint of discrimination with the EEO Officer at [\[EXTENSION\]](#), or you may file an appeal with the Merit Systems Protection Board, as previously described. You may not, however, file both. Should you elect to file a complaint of discrimination, your complaint will be processed in accordance

with Equal Employment Opportunity Commission regulations at Title 29, Code of Federal Regulations (CFR) Section 1613.401. Should you elect to file an appeal, your appeal will be processed in accordance with MSPB regulations at 5 CFR 1201.

8. You are to remain in an active duty status until the effective date of your suspension unless annual or sick leave is approved. You may request up to four (4) hours of official time, if you are otherwise in a duty status, to review the material relied on to effect this action. The request for use of official time or more time, if needed, should be coordinated with your immediate supervisor. You may contact [NAME], Employee Relations & Development Specialist at [EXTENSION] for assistance or review of pertinent regulations if desired.

Encls

1. Case File
2. Appeal Form
3. 5 CFR 1201

[DECIDING OFFICIAL]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

| [OFFICE SYMBOL] (690-400) [DATE]

| MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Notice of Unacceptable Performance

1. This is notice that you are currently performing at an unsatisfactory of performance as [POSITION TITLE/PAY PLAN, SERIES, GRADE] in [NUMBER] [STANDARDS/OBJECTIVES] identified in your [SENIOR SYSTEM CIVILIAN EVALUATION SUPPORT FORM/COUSELING CHECKLIST] [DATE].

| 2. The [STANDARDS/OBJECTIVES] you have not met are:

a. [INDICATE STANDARD/OBJECTIVE]

b. Actual Performance -- [STATE ACTUAL PERFORMANCE -- BE SPECIFIC]

3. Since you are currently performing at an unsatisfactory level, I am giving you notice that you will have {NUMBER} days from the date you receive this memorandum to allow you the time and opportunity to bring, your performance to a fully successful level. During this time frame, myself and [NAME, TITLE] will be available to provide you guidance and assistance in performing your duties. I will intensify my day-to-day supervisor in reviewing your work, and provide you will be-weekly progress review. We will be happy to give you any necessary on-the-job training you feel would raise your level of performance to the successful level.

| 4. If at the end of the [NUMBER] - day opportunity to improve period, my evaluation indicates that you are still performing at an unsatisfactory level, you will be subject to reassignment, reduction in grade, or removal from Federal service. If your [OFFICE SYMBOL]

SUBJECT: Notice of Unacceptable Performance

performance is acceptable, you are to maintain this level of

performance for one (1) year. If during that year your performance in the objectives(s) identified fails to the unacceptable level, you will be subject to reassignment, reduction in grade, or removal from Federal service.

Encl

[DECIDING OFFICIAL]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

| [OFFICE SYMBOL] (690-400) [DATE]

| MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Performance

| 1. Reference [OFFICE SYMBOL] memorandum, subject: Notice of Unacceptable Performance dated, [DATE].

| 2. Since you are performing at an acceptable level of performance, you will receive a fully successful rating for the period [DATE] to [DATE].

| 3. If you have any questions, please contact me or [NAME], Employee Relations & Development Specialist.

| [SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

[OFFICE SYMBOL] (690-400a) [DATE]

MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Notice of Termination

1. This is notice that we are terminating you from your position of [POSITION TITLE/PAY PLAN, SERIES, GRADE]. This action is effective [DATE]. Standard Form SF-50, Notification of Personnel Action, is enclosed. [forthcoming].
2. The reason(s) for this action is due to [STATE REASON].
3. Your appointment does not give you the right to appeal this action.
4. Equal Employment Opportunity Commission regulations provide that you have the right to appeal your termination if you allege that the action was taken as a result of your race, color, religion, sex, age, national origin, or handicapping condition. If you feel this action was taken for one of these reasons, you may elect to utilize the Army's EEO complaint procedure. To do so, you must contact an EEO Counselor within 45 calendar days of the effective date of this action. In order to see an EEO Counselor, you should contact the EEO Officer at [EXTENSION].
5. You are to turn in your identification card and any other government property you may have. The items must be returned by close of business [DATE]. If you have any questions concerning the return of this property, you may reach me at [EXTENSION].

| [OFFICE SYMBOL]

SUBJECT: Notice of Termination

6. We regret having to terminate you, however, we can only retain those who can comply with government rules and regulations, and be relied upon to report for work as scheduled.

| Encl

[DECIDING OFFICIAL]

[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

[OFFICE SYMBOL] (690-700a) [DATE]

MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Discharge During Probationary Period

1. This is notice that you are to be discharged during your probationary period from your position of [TITLE, PAY PLAN, SERIES, GRADE], for being [CHARGE]. The effective date of your discharge is [DATE]. An SF-50, Notification of Personnel Action, is enclosed [forthcoming].

2. The specific reasons for this action are:

[STATE REASONS]

3. Although not part of the specific reason(s) for taking this action, the following [IS/ARE] cited to show previous problems you have had and the attempts made to resolve those problems.

[LIST COUNSELING SESSIONS/PREVIOUS DISCIPLINARY ACTIONS, IF NONE, DELETE PARAGRAPH AND RENUMBER REMAINING PARAGRAPHS]

4. This action is being taken to promote the efficiency of the Federal service by discharging an employee who cannot be relied upon to report to work as scheduled and whose continued unreliable attendance adversely affects the mission.

5. You are to remain in a duty status until the effective date of your discharge unless annual leave or sick leave is approved. If you wish to review the information relied upon in making this decision, you may contact [NAME], Employee Relations & Development Specialist, at [EXTENSION]

6. The nature of your appointment does not provide you the right to file an appeal to this action to the Merit Systems Protection Board (MSPB) on its merits because you allege that proper procedures have not been followed in processing this action.

7. You have the right to appeal to MSPB if you allege that this action was taken as a result of discrimination because of partisan political affiliation or marital status. You may also appeal to MSPB if you allege discrimination based on race, color, religion, sex, national origin, physical handicap, or age, provided such allegations are raised in addition to partisan political or marital status reasons. Such an appeal must be submitted in writing, in accordance with the enclosed procedures to: Chief Appeals Officer, Merits Systems Protection Board, San Francisco Regional Office, 525 Market Street, San Francisco, California 94105. Your appeal must be received by MSPB within 30 calendar days after the effective date of this action. If you elect to file an appeal to MSPB, you must send (2) copies of your appeal and any attachments to that office.

8. Equal Employment Opportunity Commission relations provide that you have the right to appeal your discharge, if you allege that the action was taken as a result of your race, color, religion, sex, age, national origin, or physical or mental handicap. If you feel this action was taken for one of these reasons, you may elect to utilize the Army's EEO complaint procedure. You must contact an EEO Counselor within 45 calendar days of the effective date of this action. In order to see an EEO Counselor, you should contact the EEO Officer at [EXTENSION].

Encl

- 1. SF-50
- 2. Appeal Forms

[SUPERVISOR]

[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

[OFFICE SYMBOL] (690-300) [DATE]

MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Management Directed Reassignment

1. This is to advise you that effective [DATE] you will be reassigned to [OFFICE] located at [CITY, STATE]. You will continue to occupy the position of [TITLE, PAY PLAN, SERIES, GRADE].

2. The reason for this management directed reassignment is due to [REASON].

3. If there is any circumstances you believe management should consider before effecting this action, you should present them to me, in writing, within five (5) work days from receipt of this memorandum. Any reply you wish to make will be fully considered in determining if the reassignment should be effected. If you do not wish to reply, you will receive no further notice concerning your reassignment.

4. Please be assured that this action is being taken solely for the reasons stated above. In no manner is it a reflection on your abilities and performance on the job.

5. If you have any questions, please contact [NAME], Employee Relations & Development Specialist at [EXTENSION].

[SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

| [OFFICE SYMBOL] (690) [DATE]

| MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Request for Additional Medical Documentation

| 1. I am issuing you this letter, because [REASON].

2. In order for me to determine the extent of your physical and/or emotional limitations and the appropriate action to be taken, you should submit the medical documentation indicated below:

a. The history of your medical condition, including findings from previous examinations, treatment, and responses to treatment.

b. Clinical findings from the most recent medical evaluation, including any of the following which may have been obtained; findings of physical examinations, and results of laboratory tests, x-rays, EKG's and other special evaluations or diagnostic procedures; and in the case of psychiatric disease, the findings of a mental status examination and the results of psychological tests.

c. Assessment of the current clinical status and plans for future treatment.

d. Diagnosis.

e. An estimate of the expected date of full or partial recovery.

| [OFFICE SYMBOL]

SUBJECT: Request for Additional Medical Documentation

f. An explanation of the impact of the medical condition on

life activities both on and off the job.

g. Narrative assessment of the degree to which the medical condition has or has not become permanent and stationary, and the medical basis for this assessment.

h. Narrative explanation of the medical basis for any conclusion which indicates the likelihood that you are, or are not incapacitated as a result of your medical condition.

I. A specific explanation of your medical restricts and the extent to which they affect your ability to perform the duties of [TITLE].

3. I am enclosing a copy of your current position description. This document must be provided to your physician for use in making the required determination.

4. The information requested above should be provided to you by your treating physician. You should then submit the documentation to me. The medical documentation required should be submitted to me not later than [DATE]. If you find that you cannot meet this deadline, please contact me at [EXTENSION] to request an extension of the time. It is important that you provide this report by the requested due date.

5. If you have any questions regarding this notice, please contact me at the above number.

Encl

1. Position Description
2. Performance Plan

[SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

| [OFFICE SYMBOL] (690-700) [DATE]

| MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Request for Additional Information

1. While reviewing your official records, we discovered an inconsistency in the Application for Federal Employment, your completed on [DATE] (encl 1), and the information contained in your Official Personnel Folder (OPF).

| 2. Specifically, your OPF revealed that [WHAT?]

| 3. Reference is made to item #[#], [TITLE]. You indicated [WHAT?]

4. We would appreciate your assistance in clarifying this situation by explaining why there is an apparent inconsistency between the information you provided and the investigation findings. Please be advised that a false answer to any question may be grounds for dismissal.

| 5. Please submit your response to the undersigned by [DATE]. If you have any questions regarding the above, [NAME], Employee Relations & Development Specialist at [EXTENSION].

| Encl

[SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

[OFFICE SYMBOL] (690-700) [DATE]

MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Withholding of Within-Grade Increase

1. This is notice that it has been determined that your level of performance for the period ending [DATE] does not warrant granting you a within-grade increase on [DATE]. A second determination will be made within [NUMBER] days of the date of this letter to consider any improvements which might be shown regarding your performance. If your performance improves to an acceptable level of competence during this time, you will be granted a within-grade increase.

2. As [POSITION TITLE, PAY PLAN, SERIES, GRADE], you are expected to meet all performance requirements as outlined in your performance plan.

3. Your performance has been deficient during the waiting period for your within-grade increase as demonstrated by your most recent performance rating of record in that you did not meet [STANDARD/OBJECTIVE]. The following incidents are examples of your inability to meet this performance standard:

a. [EXAMPLE]

b. [EXAMPLE]

4. In order for your performance to warrant the granting of a within-grade increase, you must do the following:

a. [EXAMPLE]

b. [EXAMPLE]

[OFFICE SYMBOL]

SUBJECT: Withholding of Within-Grade Increase

5. I will continue to assist you in an effort for you to achieve a level of performance which will warrant a within-grade increase. During this time frame, I will be available to provide you guidance and assistance. I will intensify my day-to-day supervision in reviewing your work and provide you with a weekly progress review.

6. You have a right to request a reconsideration of this determination to withhold your within-grade increase. You may make a reply in person, in writing or both. Your reply must be submitted to: [NAME, TITLE, ADDRESS], within 15 calendar days after you receive this notice. If needed, you may request more time in which to make your reply. Such a request should be in writing to [NAME] in which you should explain the reason(s) for your request.

7. The material upon which this action is based is enclosed. If you have any questions concerning this action, please contact me or [NAME], Employee Relations & Development Specialist at [EXTENSION].

Encl

[SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

[OFFICE SYMBOL] (690-700) [DATE]

MEMORANDUM FOR [NAME OF EMPLOYEE], [ORGANIZATION]

SUBJECT: Within-Grade Increase

1. Reference [OFFICE SYMBOL] memorandum; subject: Withholding of Within-Grade Increase, dated [DATE].
2. Since you are performing at an acceptable level of performance, your within-grade will be processed effective [DATE].
3. If you have any questions, please contact me or [NAME], Employee Relations & Development Specialist at [EXTENSION].

Encl

[SUPERVISOR]  
[TITLE]

**SAMPLE MEMO \*\*\* SAMPLE MEMO \*\*\* SAMPLE MEMO**

**DO NOT RELEASE WITHOUT PRIOR COORDINATION WITH  
HUMAN RESOURCES**

| [OFFICE SYMBOL] [DATE]

MEMORANDUM FOR RECORD

SUBJECT: Counseling Session

| 1. A meeting was conducted on [DATE] in my office between myself  
| and [NAME OF EMPLOYEE]. The purpose of the meeting was to  
| address the misconduct described below. The following points  
| summarize my conversation with [NAME OF EMPLOYEE].

| [STATE DETAILS OF THE INCIDENT OR MISCONDUCT]

| 2. [NAME OF EMPLOYEE] was informed that they would be re-  
| evaluated in 120 days from the date of our initial meeting to see  
| if any improvements have been made. [NAME OF EMPLOYEE] was also  
| informed of the provisions for progressive disciplinary action  
| and was warned that a future occurrence may result in my  
| consideration of taking such action.

| [SUPERVISOR]  
| [TITLE]

RECEIPT ACKNOWLEDGED:

\_\_\_\_\_  
[EMPLOYEE'S SIGNATURE] [DATE]

## LABOR RELATIONS

As a supervisor, you are a vital part in the labor relations program. You are the member of the management team who deals most directly with the employees and their union representative. Your actions and the relationship you have with the union representatives will have significant impact on the success or failure of the labor relations program. The Federal Labor Management Program provides a system for reconciling the needs of agencies with the employee's desire to have a "say" in determining their conditions of employment and for resolving differences and disputes that arise in the process. The law asserts that labor organizations and collective bargaining in the civil service are in the public interest.

### SUPERVISOR RESPONSIBILITIES:

- Preserve management reserved rights according to law.

- Know and carry out the provisions of the local contract.

- Contact HR to coordinate with the union before taking actions which impact and change the working conditions of bargaining unit employees.

action may result and if the employee requests representation.

This does not apply to the normal, day-to-day conversations you have with employees involving work techniques or other matters unrelated to disciplinary/such as performance management

- Develop a cooperative working relationship with union officials.

- Document use of official time for union representation duties.

### EMPLOYEE UNION RIGHTS:

➤ All employees have the right to join or not to join a union without coercion or fear of reprisal. The exclusive union is the sole spokesperson for the employees it represents with regard to conditions of employment affecting them. It is especially important that you know and accept the union's role in negotiating and policing the contract, and other agreements, and in representing employees who bring grievances under negotiated grievance procedures.

➤ An important provision of the law is the right of the union to be present when a management representative examine an employee in connection with an investigation -- if the employee reasonably believes disciplinary

➤ Take whatever actions are necessary to carry out your operation during emergencies.

The law spells out these management rights. Use your rights, but use them considerately and properly. Know your contract. Beware of incorrect

discussions/mid-term performance counseling. This is explained further under the section "Investigative Discussions".

**MANAGEMENT RIGHTS:** As a member of management you, too, have certain basic rights under the law. In addition to the right of management to set the mission, budget, organization, number of employee and internal security practices for your operation, you have the right to:

- Decide whom to hire for position vacancies.
- Assign work to your employees.
- Determine what performance is required for the employee to get the work done, whether an employee is measuring up to that performance and, if not, how his or her performance must improve. Supervisors bear the greatest and most crucial burden in applying and implementing the contract provisions.
- Poor contract administration leads to grievances, unfair labor practices, and often a poor labor-management relations climate -- or worse, impaired employee morale and reduced efficiency.

It is important to know where to look for provisions that apply to situations you may be confronted with. Read through agreements thoroughly, know what they cover.

- A important concept to agreement

interpretations that may set harmful and costly precedents which prove difficult, if not impossible, to eliminate over the long haul. Labor law recognizes and accepts "past practices".

**REPRESENTATION:** A union which obtained exclusive recognition is entitled to, and must, represent all employees in a bargaining unit fairly, whether they are union members or not. When performing representation duties, such as presenting grievances, union representatives are entitled to whatever official time management and the union may agree is reasonable, necessary and in the public interest. (See Reporting Official Time)

### **NEGOTIATED AGREEMENT:**

- Any agreement made is a set of guiding principles, and rules, that will affect your supervision. Contract administration is a total management grievance procedure. If, and when an arbitrator renders an award, he or she will not only look at the agreement, but also at any past practices being observed by both parties. Conceivably, by not applying the agreement language as written, we can alter the intent of what was actually negotiated.
- An important item to remember about negotiated agreements is that preparation for the next contract negotiation begins immediately upon approval of the current agreement. You can provide valuable assistance to management's negotiating team.

administration is "past practice". It is defined as "management practice not covered in the agreement that have been established over a period of time, which have gone unchallenged by the union, or a practice followed regardless of what is stated in the agreement." Why is past practice so important? All agreements provide for binding arbitration as the terminal step of the

### THE SUPERVISOR-UNION RELATIONSHIP-COOPERATION

- Following the basic principles of fair, reasonable and honest dealings will almost always be the best method of securing the cooperation of stewards and other union representatives.
- The supervisor and the steward have the right to mutual respect. The supervisor must recognize that the steward has contractual rights to handle grievances, and should not be denied reasonable time and access to employees to perform this job. Given cooperation, stewards often resolve more borderline grievances than they file. The steward should be allowed to demonstrate his/her good faith intention in this respect. Similarly, the supervisor must not be hampered in his primary function of securing efficient production by any actions of the steward. The supervisor has the right to expect the steward to support him/her in getting a fair day's work for the wages

Keep notes on aspects of the agreements. What's wrong with it? What's right with it? What needs to be modified/added/deleted? What needs to be clarified and what has caused problems for you? In this way, you can serve as a valuable source of information for the next management negotiating team.

paid.

- Your treatment of employees and your dealings with their union representatives can help produce an atmosphere of cooperation. Keep the union informed of plans affecting your employees. Informing the union early can avoid undue friction.

UNFAIR LABOR PRACTICES: The law prohibits certain actions by both management and union officials. They are called "unfair labor practices." It is an unfair labor practice for either management or the union to fail or refuse to comply with any provision of the Federal Labor/Management Relations Law. For example, as a member of the management team, you may not:

- Interfere with, restrain or coerce employees in exercising their rights under the Labor-Management Relations Program.
- Encourage or discourage union membership.
- Sponsor, control or assist a labor organization.

testifying.

- Refuse to consult or negotiate in good faith.
- Fail or refuse to cooperate in negotiation impasse procedures or decision
- Enforce a rule which conflicts with the collective bargaining contract, if the contract was in place before the rules was issued.

The Union officials may not:

- Interfere with, restrain or coerce employees in exercising their rights.
- Cause, or attempt to cause, management to discriminate against employees in exercising their rights.
- Coerce, punish or attempt to take reprisal against a union member to hinder work performance or productivity.
- Discriminate in regard to membership.
- Refuse to consult or negotiate in good faith.
- Fail or refuse to cooperate in impasse procedures or decisions.

- Discipline or otherwise discriminate against employees for filing a complaint, petition, or stoppage, slowdown, or picketing which interferes with an agency's operations.

## FEDERAL LABOR RELATIONS AUTHORITY (FLRA):

The FLRA administers the law and sets basic policies for the program. It determines appropriate bargaining units, oversees representation elections, resolves negotiability questions and unfair labor practice complaints and decides appeals from arbitration awards. When management and a union reach an impasse (ie. stalemate), they may present the issue to the FLRA Impasses Panel. The panel may help the parties reach agreement or failing agreement, force a resolution.

## WHERE TO GO FOR ASSISTANCE:

The Directorate of Human Resources:

- Serve as the focal point for the labor relations program
- Advise supervisors regarding labor relations actions
- Provides labor relations training for supervisors
- Prepares correspondence and reports on labor relations
- Participates in contract

- Call, participate in, or condone a strike, work negotiations

Carrying out your labor relations responsibilities can be difficult. It is virtually impossible to predict every situation that may arise in which the statute must be applied. The labor relations staff in the Directorate of Human Resources (DHR) is available to assist you. If you have any doubt about how to deal with labor relations situations, contact them immediately for their assistance.

You must contact DHR for the following:

1. Changes in Conditions of Employment: Management does not have the right to unilaterally change conditions of employment without first consulting with the union and giving them the opportunity to bargain on the impact the change will have on bargaining unit members and how the change will be implemented.

It is this area which management often makes mistakes. Before you can implement a change which affects a condition of employment of a bargaining unit member, you must notify HR who will notify the union and give them the opportunity to bargain on the change.

Some of the

- The Union has the right to be notified of a formal discussion prior to its taking place to allow it to designate its own representative. Management cannot designate the union representative at formal discussions. If adequate advance notice is given to the union, management need not postpone or

issues may seem trivial. However, management can commit unfair labor practices by disregarding seemingly unimportant issues.

Example of situations where HR must provide union notification are:

- relocation of bargaining unit members,
- reassigning bargaining unit members to new work shift or new job,
- changing the work environment (heat, lighting, new furniture, moving furniture & equipment), and
- new policies or work procedures

## 2. FORMAL DISCUSSIONS:

- The Statue provides that the Union shall be given the opportunity to be represented at "any formal discussion between one or more representatives of the agency and one or more employees in the unit or their representatives concerning any grievance or any personnel policy or practices or other general condition of employment."

discussions. A discussion over the telephone if it otherwise is formal can qualify as a formal discussion.

(3) Whether or not a meeting concerns a "personnel policy or practice" when it begins but later develops into a discussion concerning a "personnel policy or practice" qualifies as a formal

delay the meeting unreasonably just because the union cannot provide a representative. Union representatives must be allowed to participate in, ask questions, or propose resolutions at formal discussions at formal discussions, but they do not have the right to disrupt or take over the meeting.

a. What is a discussion?

(1) Congress intended the term "discussion" to be synonymous with "meeting." A meeting held for purpose of making a statement or an announcement and not to engender dialogue if otherwise formal is a formal discussion.

(2) A brief discussion between two employees in the work place, or a brief employee initiated impromptu discussion with a supervisor concerning hours of work are not formal

(6) there was a agenda established;

(7) attendance was mandatory;

(8) notes were taken at the meeting;

(9) Subject matter of meeting concerns Grievances, personnel policies, practices or working conditions.

The following examples have been identified as formal discussions:

(1) discussion of dress code;

(2) quality circle meetings;

discussion.

b. Requirements of formality.

A discussion must be formal in order for there to be an obligation to notify the union, but not all elements of formality need to be present.

Some elements of formality are:

(1) the individual holding discussion is a first level supervisor or higher in hierarchy;

(2) there may be a presence of other management representatives

(3) the meeting took place at the supervisor's office;

(4) the meetings lasted a long time;

(5) the meeting was called with a formal notice;

(1) discussions of problems personal to employees, without ramifications for other employees;

(2) job performance discussions;

(3) meetings to discuss performance evaluation;

(4) periodic evaluation sessions to discuss employee performance and to set work-related goals.

(5) Intra-management discussions or discussions between unit employees only.

(3) substantial change in job duties involving safety issues;

(4) orientation of new employees;

(5) reorganiz-ation;

(6) interview of employees in connection with study analyzing Group Managers' duties, where employee views sought on training, concerns, time constraints, and duties;

The following are not formal discussions:

1. The examination must be in connection with an investigation. This includes meetings where bargaining unit members are questioned regarding their own conduct. It also includes meetings in which bargaining unit members are questioned in connection with a criminal investigation in which the member is the subject of the investigation and may include instances where the member is not the subject of the investigation. It could even include non-verbal investigations such as searches of person or property. This does not include, however, performance evaluations or counseling meetings. It does not include a meeting where discipline is merely announced, nor does it include any meeting at which the member is not questioned.

2. The employee being examined must be in the bargaining unit.3. The examination must be conducted by a representative of the agency. This includes supervisors and agency

(6) EEO meetings occurring at the informal pre-complaint counseling stage.

INVESTIGATIVE DISCUSSION:

➤ This is sometimes called the Weingarten Rights. Management must allow union representation during an examination of a bargaining unit member in connection with an investigation, if the member reasonably believes that the examination may result in disciplinary action and if the member requests representation. There are five elements of the Weingarten Rights:

necessarily remove the meeting from statutory protection if the elements of a Weingarten meeting are present.

5. The employee must request representation. It is not sufficient that the meeting meets the criteria for being a Weingarten meeting. The request need not be made in a specific format; it can be made orally. If you are to question a member of the bargaining unit and the member requests union representation, you must immediately halt the examination to allow a reasonable opportunity for the union to provide a representative. As an alternative to this, you may opt to carry out the examination or investigation without interviewing the bargaining unit member. However, if you proceed with the examination of the bargaining unit member without requested representation, you will commit an unfair labor practice. As with the formal discussion, the union representative may participate, but may not disrupt the examination meeting.

investigators.

4. The employee being examined must reasonably believe that disciplinary action against the member will result from the examination. Merely labeling the meeting a "counseling session" or "inquiry" does not

These actions constitute a bypass. An example of a bypass situation is: An agency's action in delivering a decision on a disciplinary action to an individual without the designated union representative being present, when the union was known to be representing the employee and the contract allowed for such representation. Another example would be a questionnaire/poll where unit employee opinions and views were solicited on existing or soon to be made changes.

If you have any questions regarding bypasses, you should call the Labor Relations staff in DHR for assistance.

#### REPORTING OFFICIAL TIME:

Employees representing an exclusive representative in connection with matters covered by the statute, shall be granted official time in amounts agreed to by the parties. This means that any employee serving as a Union representative may be granted official time, without charge to leave, for representational activities such as handling grievances or conducting negotiations. The use of official time for conducting internal Union business is prohibited by the Statue. Such activities as soliciting union membership, collecting dues, participating

relationship as lax monitoring may lead to abuses of official time. At

#### BYPASSES OF THE UNION:

It is violation of the Statue for management to directly negotiate with unit employees to put pressure on them to take a certain course of action.

in elections of union officials and conducting or attending Union meetings can only be done on non-duty time. It is the Union representative's responsibility to request the use of official time from their supervisor prior to its use. If due to mission needs, you can not afford to grant the time that the Union representatives requests, you should make some other reasonable time available. Upon granting this time, you should obtain an understanding with the employee of the length of time that you are granting.

As supervisors are responsible for time and attendance records, it is also your responsibility to report the use of Union representational time on the employees time keeping record. Make sure that you record the time in the correct category, as there are several categories for reporting the use of official time.

- You must monitor the time and activity of Union representatives to ensure that the official time is used for legitimate purposes and that it is properly accounted for. If management shies away from monitoring the use of official time, it can cause problems in the

effective conduct of the government's business with the rights of bargaining unit

the same time, harsh and overbearing action in this area may result in constant conflict. In determining the amount of official time to be authorized, management must balance

employees to be represented in matters affecting their employment. Consideration should be given to the mission and function of the activity, the accessibility to employees, the supervisory structure, past experience, and the impact on employee performance and efficiency. The amount of time approved should not exceed that needed to perform the representational activities.

DEPARTMENT OF THE ARMY  
SOUTH PACIFIC DIVISION, CORPS OF ENGINEERS  
630 Sansome Street, Room 720  
San Francisco, California 94111-2206

CESPD-HR

CESPD REGULATION  
NO. 690-1-14

26 December 1990

Civilian Personnel  
LABOR-MANAGEMENT RELATIONS

1. Purpose. This regulation sets forth Department of the Army and Corps of Engineers policies and procedures relating to labor-management relations in the South Pacific Division environment.

2. Applicability. This regulation applies to all elements of the South Pacific Division (SPD) Headquarters and its districts as well as organizations serviced by the South Pacific Division Directorate of Human Resources, unless specifically excluded by a servicing agreement. If any provision of this regulation conflicts with a collective bargaining agreement, the provisions of that agreement shall take precedence.

3. References.

- a. AR 690-700 (Labor-Management Relations), Chapter 711.
- b. ER 690-1-711 (Labor-Management Relations).
- c. 5 USC Chapter 71 (Labor-Management Relations).
- d. DoD CPM 1400.25 (Labor-Management Relations), Chapter 711.
- e. Labor Agreement between Los Angeles District and NFFE Local 777.

4. Policy.

a. Civilian and military supervisors and managers are expected to demonstrate an affirmative willingness to carry out their responsibilities. Dealings with recognized employee unions will go beyond the resolution of issues and problems arising from the bargaining table and the worksite to include establishment of relationships that can help to preclude such problems.

- b. Recognition is given to the right of civilian employees

to either form, join and assist any labor organization; or to refrain from such activity, exercising those rights freely and without fear of penalty or reprisal. Except as provided in paragraph 4c, below, these rights shall extend to acting as a labor organization representative or participating in its management.

c. The following individuals may join any labor organization but may not act as a representative nor participate in its management if recognition has been accorded:

(1) Management officials and supervisors.

(2) Employees engaged in personnel work in other than a purely clerical capacity.

(3) Employees whose assigned duties require that they represent the interests of the Government in consultation or negotiations with labor organizations.

#### 5. Responsibilities.

a. The Director, Human Resources will serve as the principal contact point for conducting business with unions. this responsibility will be carried out through the Human Resources staff.

b. The Installation Labor Counselor will provide advice and assistance to the Director, Human Resources on matters such as where union interests are represented by attorneys, third-party proceedings, grievance resolutions, arbitration representation, legal advice to negotiation committees, contract interpretations, management training (including instructor assistance), and review of labor relations policies and procedures. In all third party formal proceedings, the Labor Counselor will be the agency representative.

c. Management officials and supervisors, both military and civilian, will carry out day-to-day dealings with unions and employees in conformance with the cited references, implementing directives, negotiated agreements, and local delegations of authority. They will maintain a posture of neutrality with regard to the subject of membership in a labor organization, refraining from interfering with the free choice of employees in matters of representation. Familiarization with the provisions of the current negotiated agreement(s) is required.

d. All members of the civilian workforce are responsible for conducting themselves within the limits of prescribed rights and obligations of the labor-management relations program.

#### 6. Definitions.

a. Dispute. A disagreement between the employer and the union over the interpretation or application of the terms of this agreement. Resolution shall be by the procedure set forth in Article 9 of the NFFE negotiated agreement, or as provided by the Civil Service Reform Act (CSRA).

b. Grievance. A statement of employee dissatisfaction requesting adjustment of a management decision; or some aspect of employment status; or working conditions which are beyond the control of the union or the aggrieved employee, but within the control of the employer.

c. Negotiated Dispute and Grievance Procedure. A system whereby the parties to a dispute may receive consideration and resolution of the dispute or grievance.

d. Impasse. The inability of the employer and the union to arrive at a mutual agreement concerning negotiable matters through the negotiating process.

e. Negotiation. Bargaining of the parties on appropriate issues relating to working conditions, local personnel policies and practices, or amendment/supplementation of an agreement.

f. Supervisor. An employee with the authority to hire, transfer, suspend lay-off, recall, promote, discharge, assign, reward, or discipline other employees; or responsibility direct them; or to evaluate their performance; or to adjust their grievances or effectively recommend such action; if in connection with the foregoing the exercise of authority is not of a merely routine or clerical nature, but requires the use of independent judgment.

## 7. Rights and Obligations.

a. Management. This Division will retain the right, in accordance with applicable laws and regulations, to take action as required to carry out the assigned mission; establish the budget; establish and manage the organizational structure; determine the total number of employees; determine the number, types and grades of positions or employees assigned to any organization unit, work project, or tour of duty; determine the technology for performing work or establishing and carrying out internal security practices without consultation or negotiation with labor organizations.

### b. Labor Organizations.

(1) A labor organization granted exclusive recognition in an appropriate unit shall have the rights and obligations granted such organizations by statute.

(2) It is the mutual obligation of management and labor organizations holding exclusive recognition to meet at reasonable times and confer in good faith. Such obligation does not, however, compel either party to agree to any specific proposal advanced during consultations or negotiations, or require the making of concession on any specific matter.

(3) The manner in which employee grievances will be considered and decided with an exclusive unit is a negotiable matter. An employee may handle his/her own grievance and select his/her own representative. However, a labor organization granted exclusive recognition shall be given the opportunity to be represented at formal discussions or meetings between management and employees or employee representatives concerning grievances, and at the appropriate time to make its views known.

c. Negotiation of Agreements. Negotiation of agreements will be carried out in strict compliance with procedures contained in pertinent regulations supplemental instructions of the OCE.

d. Nothing in this regulation or any agreements entered into under its provisions shall restrict the Division or its officials in situations of emergency from taking any actions necessary to carry out the mission.

FOR THE COMMANDER:

/s/  
FREDERICK R. FERRIN  
LTC, EN  
Deputy Commander

DISTRIBUTION:  
CESPD-1  
SPN-1A  
CESPK-E  
CESPL-D



# DEVELOPMENT DIVISION

## INDEX

<i>SUBJECT:</i>	<i>PAGE:</i>
➤ <i>Overview</i> ➤ <i>&gt;Policy&lt;</i> ➤ <i>&gt;Responsibilities&lt;</i> ➤ <i>&gt;Management Assistance&lt;</i> ➤ <i>&gt;Program Development and Administration&lt;</i> ➤ <i>&gt;Training Needs&lt;</i> ➤ <i>&gt;Training Requirements&lt;</i> ➤ <i>&gt;List of Priorities&lt;</i>	<i>Vla</i>
➤ <i>Special Programs</i>	<i>Vlb</i>
➤ <i>Supervisor's Checklist (Training Responsibilities)</i>	<i>Vlc</i>
➤ <i>Army Civilian Training, Education and Development (ACTEDs)</i>	<i>Vld</i>
➤ <i>Individual Development Plans (IDP)</i>	<i>Vle</i>

# DEVELOPMENT DIVISION

## POLICY:

1. When an agency operates efficiently, it is because its employees are interested in doing a good job and have the necessary competencies to do their job. To ensure that a high level of competency is maintained, each organization must actively engage in identifying the training needs of its team members. If the process of identification is to be successful, it must be carried out in a systematic fashion which will not only identify the training needs, but eliminate non-training needs.

2. In order to promote efficiency and economy in the operation of the Government, the Government Employees Training Act (GETA) authorizes and encourages training for civilian employees of the Government in the development of skills, knowledges, and abilities with respect to performance of official duties.

3. Further information on the legal basis of federal the following regulations, standards, and policies:

\* Chapter 41 of Title 5, United States Code (USC)

(a) The need to improve knowledge, skill, and ability in the present assignment.

(b) The performance requirements in support of the mission.

(c) Career development, as shown in the established career program training

- \* Executive Order 11348
- \* Section 4103 of Title 5, USC
- \* AR 400, Chapter 410

## RESPONSIBILITIES:

1. Supervisors determine that training is needed to ensure accomplishment of the mission within the organization. The performance appraisal is the primary means for determining training needs for effective performance. This evaluation provides data to prepare the Individual Development Plan (IDP) and is the primary basis for scheduling training. In career programs, development plans are established and evaluated by career program screening panels to help identify training needs. It is DA's policy that training be provided only to meet existing or foreseeable needs. Therefore, all supervisors must review the needs of their subordinates annually. This should be done during the performance appraisal period. Training is a responsibility of management, although management should work with their employees to determine needs to perform official duties.

2. The supervisory review of employee training needs will be based on:

## PROGRAM DEVELOPMENT AND ADMINISTRATION:

Develops, coordinates, and administers a training and development program which is responsive to immediate

plans.

(d) The goals and objectives in support of EEO.

(e) Approved Upward Mobility Programs.

(f) Approved training agreements.

(g) The need to improve supervisor, manager, and executive performance.

### MANAGEMENT ASSISTANCE:

Provides technical advice and assistance to all levels of management concerning determination of training needs, sources of needed training, planning to meet needs, design and presentation of training, and evaluation of results. Provides guidance and help to supervisors in planning job related career development activities for employees. Encourages and aids employees in undertaking self-development activities.

technical guidance to all levels of management in evaluating the training process and training results.

Accomplishes the annual evaluation of installation training and development. Administers the DA and DOD Career programs, maintains career files and career program registration. Provides administrative support and advice to the Engineers and Scientists and other career programs. Schedules major command MACOM Career screening panel.

### TRAINING NEEDS:

1. Training needs are made known to the Development Division on the Annual Training Survey. Training needs are those identified by supervisors and

and long-range needs and goals of the command, and the Department of the Army. Interprets higher echelon policies, goals, regulations and statutes. Serves as the center of activities for development and enunciation of installation training policy. Provides technical advice and support to installation training committees.

Assists management in planning and preparing long-range and fiscal year installation training plans and program. Assures proper programming and budgeting of manpower, funds and facilities to support the training plans. Coordinates with higher echelons, Army educational activities, other Governmental firms to locate and utilize resources to meet identified training needs. Coordinates the pooling of internal and external resources and talents to meet common needs. Assists in the selection and training of personnel to serve as instructors. Provides leadership, assistance and

2. Formal training (classroom) is available from a variety of sources. The most commonly used are:

(a) Government-Interagency Training: Interagency training is training provided by Federal non-DoD Government agencies, such as:

(1) Office of Personnel Management (OPM);

(2) General Services Administration (GSA);

(3) OPM Management Development Center (MCD);

management officials, and recorded in the performance evaluation or career appraisal IDP. Training needs are met through the following resources:

- (a) On-the-job training and orientation;
- (b) Correspondence courses (Army, Navy, Air Force, OPM and Non-Government);
- (c) Formal classroom training;
- (d) After hour self-development.
  
- (f) State and City Government Training: Training provided by State and City Government agencies that may be appropriate for Federal Civilian Personnel.
  
- (g) Non-Government Training: Non-Government training can be utilized when the training required/needed cannot be obtained through government sources, or when it is more cost effective than government training (i.e. it would cost more in terms of time, or distance, cannot meet the needs on a timely basis, quality/expertise of the training surpassed government training, and other factors to use governmental resources). Non-Government training can consist of the following:
  - (1) Conferences and seminars (if the theme of the conference/seminar is training, or training

(4) Federal Executive Institute (FEI).

- (b) Proponent-Sponsored Engineer Corps Training Program (PROSPECT) through Huntsville. Training courses conducted in a facility owned, rented, or leased by the Department of Defense and taught by instructors who are acting under contract to DoD.
  
- (c) Corps of Engineers Non-Traditional Systems Training (CONTRAST) -- Video Based;
  
- (d) Defense Management Education and Training (DMET);
  
- (e) In-house (locally sponsored) contract courses;

When submitting requests for non-government training, block 18 of the DD1556 should be used to record the intent of the training objectives which relate to skill, knowledge or ability to be gained by the organization. Attachment to the DD1556 should include a flyer/booklet describing the course, if available. Other wise, Form CESPFD-FL-P01-R, Justification for Training from a Non-Government sources, will be required if the intent of the training is unclear when compared to the job series, title, and grade. The following must be considered when nongovernment facilities are selected as a source of training:

- (1) No employee will be assigned to training or permitted to enroll in a course in a non-government training facility, regardless of course length, before the proper official grants approval. The Secretary of the Army has delegated the authority to approve training at non-

sessions are held, then it is considered non-government training and a DD1556 is required). Otherwise the SF 1034, Public Voucher, should be used to pay non-training registration fees.

(2) Courses taken through private firms (organizations).

(3) College/ University courses.

will be disapproved.

EMPLOYEES WHO ENROLL IN A NON-GOVERNMENT TRAINING COURSE WITHOUT WRITTEN PRIOR APPROVAL BY THE DIRECTOR OF HUMAN RESOURCES, OR THE CHIEF OF THE DEVELOPMENT DIVISION ARE PERSONALLY RESPONSIBLE FOR THE TOTAL TRAINING COST.

(2) Managers, supervisors and HRD staff must consistently be aware of fraud, waste and abuse as related to any request for training cost reimbursement or for travel and per diem claims. This especially relates to selection of the location of the training. The most cost-effective location in terms of total direct costs should be selected.

3. Correspondence courses are available through both Government and Non-Government sources. DA Pamphlet 351-20, Army Correspondence Course Programs, lists numerous courses available in a variety of subject areas which are available at no cost. The OPM National Independent Study Center (NISC) and some colleges and universities offer correspondence courses for a fee.

government facilities for employees under this command to the Commander, SPD who has redelegated to HR Division and in turn to the Chief, Development Division, DHR. Requests for approvals after employees have enrolled or actually begun the training

tuition, registration fees, etc. Consequently, care should be taken to program for necessary funds in the annual budget. Training coordinators should ensure that correct accounting appropriations are annotated on the training forms (DD1556) and local procedures followed regarding certification of funds.

#### TRAINING REQUIREMENTS:

There are two requirements that must be met when training is requested:

1. Training MUST be MISSION RELATED -- if the training requested cannot be tied into the employee's job, it cannot be supported; and
2. There MUST be a need for training -- even though training may be related to the employee's position, if the supervisor feels that the employee is fully qualified, then there is not a NEED for training. Training is based on both need of the individual and the organization.

#### LIST OF PRIORITIES:

1. PRIORITY I: "Essential" to mission accomplishment. (Must have)

- a. Mandatory training required by

4. Most instances of training are funded by the employing organization. These costs include travel, per diem,

accomplished during the immediate cycle to avoid a direct adverse impact on mission achievement.

c. Any training necessary to correct serious performance deficiencies as noted in the basic performance appraisal.

2. PRIORITY II: "Required" to maintain competency levels. (Should have)

a. Training that is directly job related is necessary to perform assigned duties.

b. Training is needed to provide for the placement of skilled employees and/or to maintain mission related skills. Deferment would have an adverse mission effect over an intermediate term.

law or regulation.

b. Training that must be

3. PRIORITY III: "Helpful" to increase efficiency and productivity. (Nice to have)

a. Training which further enhances the skills of employees performance at an adequate level of competency. Deferment beyond immediate training cycle would have little immediate adverse mission effect but would preclude or delay improving present mission accomplishment.

b. Attendance at seminars, symposiums, trade shows, or other sessions of a general nature to exchange ideas and information.

## SPECIAL PROGRAMS/COURSES:

### ARMY MANAGEMENT STAFF

COLLEGE (AMSC): AMSC offers a 14-week resident course and 1 months-nonresident course designed to instruct Army Leaders in functional relationships, philosophies, and systems relevant to the sustaining base environment. It provides civilian personnel with training analogous to the military intermediate service school level. The non-resident course requires a one-week mandatory resident session at the beginning and end of the course. Audience: GS-12 to 14. GS-11 (high potential) and GS-15 may apply by exception.

### DEFENSE ACQUISITION

UNIVERSITY (DAU): DAU was formed under the Office of the Under Secretary of Defense (Acquisition and technology) effective 1 August 1992 as a result of the Defense Acquisition Workforce Improvement Act (DAWIA), 10 USC 1746, as chartered by DoD Directive 5000.57. There is a consortium of 15 DoD agencies which offer acquisition courses under 16 DAU listings of DoD schools which have been granted equivalency for specific courses, and a listing of approved college programs which have been granted equivalency for mandatory DAWIA courses. Mandatory course requirements currently apply to those in the 1102 and 1105 contracting series and Corps of Engineers Construction-Operations 800 professional positions (engineers) who have been designated as Army Acquisition Workforce (AAW or Corps AAC) members. Course listings, requirements, etc., can be found in the school year DAU catalog.

**DEFENSE MANAGEMENT  
EDUCATION & TRAINING (DMET)**

**PROGRAM:** The Defense Management & Training (DMET) Program, is a major training and education effort within the Department of Defense (DoD) for DoD personnel engaged in the performance of management functions. Directed by Department of Defense Directive 5010.16, it consists of 20 schools offering training in a variety of subject areas including mathematics and statistics, automated data processing, logistics, general management, financial management and cost analysis, industrial management, supply management, traffic management, preservation and packaging, acquisition contracting, property disposal, quality assurance, security administration, value engineering and ammunition handling.

**LEADERSHIP, EXECUTIVE AND  
DEVELOPMENT (LEAD):**

The LEAD course is a 40-hour course designed to develop and hone the leadership skills of supervisors and provide supervisors with the competencies required to effectively lead people and manage teams. Techniques include lecture, conference practical exercise, group exercise, role play, and demonstration. The LEAD course provides instruction in competencies including professional ethics, counseling skills, communication group development theory, team building, motivation, conflict management and problem solving and decision making. The LEAD course incorporates training of the nine Army Leadership Competencies and the personal characteristics and traits identified in the Army Professional Development of Supervisors' Study. It is an integral part of the progressive and sequential supervisors and will be considered a factor in determining that a new supervisor has satisfactorily completed the required probationary period in accordance with AR 690-400. This is a DA mandatory course for new supervisors along with the Adjutant General Schools' correspondence "Civilian Personnel Supervisory Course" (805C).

**LONG-TERM TRAINING (LTT):**

Long-term training and education refers to training to which an individual is assigned on a continuous, full-time basis for more than 120 calendar days. The assignment may be to either Government or non-Government facilities. A training program split arbitrarily between two or more school terms is one continuous program. Audience: GS-11 and above.

**OFFICE OF PERSONNEL  
MANAGEMENT --  
MANAGEMENT DEVELOPMENT**

**CENTERS:** OPM's Management Development Centers, formerly Executive Seminar Centers, are a unique interagency training and development resource for middle level Government managers. The Centers provide a core management curriculum which addresses the competencies, skills and abilities needed by Federal managers at the full performance mastery level and supports the transition from manager to executive. The Centers also provide a wide range of professional development programs dealing with public management and national policy issues. Audience: Normally candidates will be GS-13 and above, though high-performing nominees at the GS-12 level with justification statement are welcome.

## ORGANIZATIONAL LEADERSHIP FOR EXECUTIVES (OLE):

This course is entirely experiential in nature to assist the key manager in looking beyond daily activities to assessing and interpreting, in an ever enlarging way, the external environment, the organization, the leadership process, the need for subordinate development at all levels, and the need for continuing self-development. Topics will include, but are not limited to, developing strategies for organizational excellence, influencing subordinate performance, managing innovation and change, diagnosing systematic problems, and building excellence into the leadership team. Audience: GS-13 to 15.

## PERSONNEL MANAGEMENT FOR EXECUTIVES (PME):

The Personnel Management for Executives (PME) program is designed to improve management within the Department of the Army by stimulating executives to want to do a better job of managing the people who work with them. It does this by providing participants with the opportunity to develop a greater appreciation for the human side of management and by building upon their current skills managers. Audience for PME I and II: GS-12 to 15. High performing nominees at the GS-11 level with justification statement are welcome. Audience for PME II must have attended PME I at least two years prior to attending PME II.

**UPWARD MOBILITY:** The Upward Mobility Program (UMP) provides career opportunities for lower-level employees (at GS-9 equivalent or below) who are in dead-end jobs which do not enable them to realize their full potential. It consists of a systematic, planned program of on-the-job work experiences and formal classroom training which enables the trainee to acquire the knowledge, skills and abilities necessary to qualify for a target position.

**VETERAN'S READJUSTMENT APPOINTMENT:** A Veteran's Readjustment Appointment (VRA) is a non-competitive 2-year excepted appointment which results in a career or career-conditional tenure upon satisfactory completion of service and education requirements. Before making a VRA appointment, each organization must ensure that the veteran will undertake a suitable program of education or training while he/she is serving under the appointment. This training and education may consist of on-the-job training (OJT), rotational job assignments, formal training or a combination of training and development activities.

## SUPERVISOR's CHECKLIST ON TRAINING RESPONSIBILITIES

1. In identifying the training needs of your unit, have you:

- Checked your employee's actual performance against required performance standards?
- Made reference to employee's latest performance appraisals for possible training requirements?
- Considered changes in missions, added missions, or receipt of new equipment?
- Determined training required from master individual training and development plans for employees participating in special employment or training programs.
- Review the Master Training Plan for those Army Career Program employees with approved ACTEDS plans. (See ACTEDS section)
- Discussed training plans with each of your subordinates and permitted them to express their opinion of training they  
  
for taking full advantage of the developmental opportunities made available by the agency and for applying the learning to his or her job?
- Given consideration to periods of peak workload during the FY in

need?

- Ensured that you have carried out your obligation to develop, as part of the day-to-day operations, the competence needed to assure effective employee performance on the job?
- Made the distinction between training needed for actual job performance and mission accomplishment versus self-development, since self-development is basically an employee's responsibility?
- Considered the value and the need for cross-training (across functional and/or organizational lines)?
- Established the specific objectives you desire your employee to achieve by attending a particular course?

2. In planning to conduct or arrange for employee to receive training, have you:

- Advised each employee of his/her responsibilities
- Selected training for your employees which is the most cost-effective to the Government?

3. At the conclusion of a training course, do you:

- Perform periodic evaluations

your organization?

- Established and coordinated leave plans accordingly?
- Coordinated budget requirements for off-post and non-Government training?
- Developed training outlines to effectively conduct on-the-job training (OJT)?
- 

(through observations and discussion) to determine the tangible and intangible benefits obtained from the course?

- Provide the employee the opportunity to use the recently acquired knowledge or skill?
- Follow up to see how well the employee is applying the newly acquired skill?

## ACTEDS (Army Civilian Training, Education and Development)

**WHAT IS ACTEDS:** The Army Civilian Training, Education and Development System (ACTEDS) is a system that ensures planned development of civilian members of the force through a blending of progressive and sequential work assignments, formal training, and self development for individuals as they progress from entry level to key positions.

Approved as a concept in 1983 by the Deputy Chief of Staff for Personnel, ACTEDS provides an orderly, systematic approach to technical, professional and leadership training and development similar to the system currently used by the military.

ACTEDS plans are developed for specific occupations through process which uses job analysis techniques to identify required competencies (knowledge, skills and abilities) at the five major stages of career advancement (intern, specialist, supervisor, manager and executive). These competency requirements serve as the basis for building a viable ACTEDS plan which includes:

1. The identification of key positions (involved in determining strategy, plans and/or policy in the career field or cluster, and which tend to be at the senior level in the career program.

2. An outline of the career paths to key positions; and

3. A Master Training Plan (MTP) showing the proper blend of formal training, work assignments and self-development needed at each level to acquire competencies. MTPs start with Master Intern Training Plans which apply to all interns. MTPs also include the civilian leadership common core training.

**ACTEDS GOALS:** ACTEDS goals are to assure proper training of civilians, develop leaders, and develop and sustain a quality force. These factors are imperative to building tomorrow's Army. As a civilian member of the Army, you play a role in building the future Army by performing effectively in the job you hold today as well as preparing for tomorrow. ACTEDS will help you be an effective link in the chain of progress.

### INDIVIDUAL DEVELOPMENT PLANS (IDP)

#### **1. INDIVIDUAL DEVELOPMENT PLANS (IDP):**

a. Organizational, training and development ensures that the work force

are encouraged to attend the Corps' Career Management Seminar. This course increases the effectiveness of career management in aiding career program managers, supervisors and human resource specialists with their

is capable of effectively performing assigned duties and accomplishing its mission. Individual training and development is intended to help members enhance and improve their skills and knowledge and develop to their full potential. Realistic, well-conceived career plans will help members achieve their career goals. This requires long-range planning.

b. Development of the IDP should be a joint effort between supervisor and employee, encouraging open dialogue to discuss the linkage between individual and organizational needs. Neither employee nor supervisor should consider the plan a guarantee or contract. But instead, it is a commitment by both to work together, for the common good of individual and organization.

## 2. RESPONSIBILITIES:

Supervisors should be familiar with their career development/management responsibilities. Supervisors Education and Development System (ACTEDS) Plans. These guidelines for training and development of careerist. Additionally, USACE specific functional training plans are valuable tools for developing IDPs. Examples of USACE plans are the USACE Human Resource Development (HRD) Specialist Training & Development Plan and the Logistics Training, Education & Development System (LOGTEDS). There may also be local plans, e.g., The CESPDM-RM training tracks for each functional specialty.

c. Both short-term and long-term objectives should be addressed in the

responsibilities for career guidance and development of future leaders. It also provides background, suggestions and tools to carry out the requirements of AR 690-950, Career Management.

## 3. PROCEDURES:

a. A five year IDP using ENG Form 5055-R, Jan 95 (available through local forms and publications) will be developed for each USACE team member. There are situations where the developmental period of the IDP may be less than five years (i.e., during short-term overseas tours and retirement eligibles.) IDPs are not required for individuals on term or temporary appointments.

b. IDPs for team members covered by a career program should be developed in concert with the appropriate published training plans. For example, the Career Development Program for Acquisition Personnel, and Army Civilian Training,

ideal time to review and modify an IDP is during the Army Performance Evaluation Process (TAPES) review process. The IDP should be used as a living document, changing and evolving as the member develops and assumes new and more complex responsibilities. These IDP's are considered a supervisory tool and should be maintained locally unless specifically requested by Directorate of Human Resources.

## 4. INSTRUCTIONS FOR COMPLETION OF THE 5-YEAR

IDP: The completion of the IDP is a joint responsibility between the employee and the supervisor. Input should be obtained

IDP. Short-term objectives should include goals/objectives that can realistically be achieved during the next one to two years. Long-term objectives should include goals/ objectives that can realistically be achieved during the next three to five years.

d. IDPs should be reviewed, discussed and modified as needed, but not less than once a year. The

from the Career Program Manager, if applicable. Individuals in positions covered by career programs and their supervisors must be familiar with ACTEDS plans applicable to their specific career program. The IDP should be completed in conjunction with requirements of applicable plans.

# INSTRUCTIONS FOR COMPLETION OF ENG FORM 5055-R, 5-YEAR INDIVIDUAL DEVELOPMENT PLAN

NAME: Employee's Name.

SSN: Employee's Social Security Number.

DEVELOPMENTAL PERIOD: The period covered by this IDP.

EXAMPLE: June 1993 thru June 1998

CAREER PROGRAM: Career Program, if applicable.

POSITION TITLE/GRADE: Employee's position and grade.

ORGANIZATION: Employee's organization.

BLOCK 1: DEVELOPMENT OBJECTIVES:

a. Short-Term Objectives: Goals/objectives that can realistically be achieved during the next 1-2 years.  
EXAMPLE: To improve supervisory skills; to improve filing skills; to improve communication skills; to improve counseling skills; to become chief/assistant chief of a branch, division, directorate; cross training, etc.

b. Long-Term Objectives: Goals/objectives that can realistically be achieved during the next 3-5 years.  
EXAMPLE: To satisfy requirement of ACTEDS plans; to become a manager/supervisor; to learn another functional area; to become chief/assistant chief of a branch, division, directorate, etc.

BLOCK 2: REQUIRED TRAINING: Required training is training that must be accomplished as soon as possible or it will have an adverse effect on mission accomplishment or mandatory training in ACTEDS plans, other training plans, or in accordance with the laws, regulations, etc. The priority of training for each instance should be identified. Information such as course numbers, course vendor, hours, and tuition, should be entered on form, if known. Estimated travel and per diem should be entered in the last column.

BLOCK 3: RECOMMENDED TRAINING: Recommended training is training required for systematic replacement of skilled employees through career management, as well as performance enhancement. Also, recommended training in ACTEDS plans. The priority of training for each instance should be identified. Training priorities are defined in Appendix C. Information such as course numbers, course vendor, hours and tuition should be entered on form, if known.

BLOCK 4: DEVELOPMENTAL ASSIGNMENTS  
REQUIRED/RECOMMENDED: Requirements for long-term training (LTT), rotational training, and/or developmental assignments should be identified in this block. Proposed location and dates should also be included.

BLOCK 5: TRAINING OR SELF-DEVELOPMENT  
COMPLETED DURING LAST FY. Self explanatory.

# TECHNICAL SERVICES DIVISION

## INDEX

SUBJECT:	PAGE:
<ul style="list-style-type: none"> <li>➤ Overview               <ul style="list-style-type: none"> <li>&gt;Incentive Awards Administration&lt;</li> <li>&gt;Retirement&lt;</li> <li>&gt;Death&lt;</li> <li>&gt;Office of Workers' Compensation Program&lt;</li> <li>&gt;Life and Health Insurance&lt;</li> <li>&gt;Legal and Regulatory Responsibility&lt;</li> <li>&gt;Internal Audit&lt;</li> <li>&gt;Processing Personnel Actions&lt;</li> <li>&gt;Management Information Systems&lt;</li> </ul> </li> </ul>	VIIa
➤ Civil Service Retirement System (CSRS)	VIIb
➤ Federal Employees Retirement System (FERS)	VIIc
➤ Federal Employees Health Benefits (FEHB)	VIIId
➤ Federal Employees Group Life Insurance (FEGLI)	VIIe
➤ Thrift Savings Plan (TSP)	VIIf
➤ Within Grade Increases (WIGI)	VIIg
➤ Overview -- Federal Disability Retirement Program	VIIh
➤ Injury Compensation for Federal Employees	VIIi
➤ Army Incentive Awards Program	VIIj

# TECHNICAL SERVICES DIVISION

## SECTION VII

Establishes and maintains central personnel records and files. Maintains, on a current basis, the central library of regulations covering all aspects of Human Resources administration. Provides information and determines entitlement in individual cases with respect to employee benefit programs, including but not limited to:

### INCENTIVE AWARDS ADMINISTRATION:

1. Administers the Incentive Awards Program, with responsibility for program planning and evaluation. Promotes support and participation in the program. Coordinates with Incentive Awards Committee.
2. Provides Executive Secretary and clerical support for the Incentive Awards Committee. Process's award nominations.

RETIREMENT: Counsels potential retirees on completion of retirement applications; making deposits for temporary civilian service and military service; making redeposits for refunded

LEGAL AND REGULATORY RESPONSIBILITY: Provides overall expert knowledge of regulatory requirements which affect human resources administration. This responsibility supplements, but does not diminish the responsibility of the individual branches for knowledge of the

civilian service; continuation of health and life insurance; alternate form of annuity; when employees can expect their retirement check; and miscellaneous other questions.

DEATH: Counsels survivors on proper completions of claim forms, when to expect payment from OPM and/or FEGLI, continuation of health benefits, and any other questions survivors may have.

### OFFICE OF WORKERS' COMPENSATION PROGRAM:

#### LIFE AND HEALTH INSURANCE:

1. Counsels employees on permissible changes to health or life insurance. Assists employees with making claims for life insurance benefits or assist with problems associated with Health & Life Insurance.

2. Administers the Thrift Savings Program. Prepares informational material as necessary on programs in area of responsibility.

details, conversion from career conditional to career appointments, and similar actions.

### MANAGEMENT INFORMATION SYSTEMS:

1. Develops and administers local

regulations affecting their own functional areas.

**INTERNAL AUDIT:** Develops plans and monitors accomplishments of audits of human resources personnel actions processed in the Human Resources office. Assures compliance with legal and regulatory requirements and at the same time identifies need for individual training or subject matter instructions to prevent regulatorily improper actions and errors in the future.

**PROCESSING PERSONNEL ACTIONS:**

1. Processes personnel actions (SF-50), including thrift savings, health benefits, and life insurance forms. Controls personnel actions in process, makes distribution of copies of actions and supporting papers.
2. Takes necessary action on periodic step increases, Resources and the District Public Affairs Office.

systems for data collection to fulfill requirements of local higher level authority for program evaluation and reporting. Serves as the link between the Directorate of Human Resources and the ADP/EAM servicing organization in the development of systems which will produce the required output in a timely manner consistent with regulatory and other requirements. Coordinates data processing activities of the office with Civilian Payroll functions of Finance and Accounting office.

2. Maintains report schedule for the Directorate of Human Resources, and prepares, coordinates, or monitors accurate and timely preparation of such reports.
3. Issues personnel publications and coordinates release of personnel-type information to HR Grapevine and other periodicals after appropriate coordination within the Directorate of Human
4. Audits the records and files required to be maintained in the functional-branches of the Directorate of Human Resources and those required to be maintained by supervisors.

## CIVIL SERVICE RETIREMENT SYSTEM (CSRS)

### General Requirements for

Retirement: A minimum of five years of civilian service is required. In addition, an employee must have been subject to the retirement law for at least one out of the last two years before the separation on which retirement is based. Additional requirements:

1. Optional retirement based on age and service. An immediate annuity is payable to an employee upon separation if he or she has at least;

a) Five years of civilian service and has reached the age of 62, or

b) 20 years of service and has reached the age of 60, or

c) 30 years of service and has reached the age of 55.

2. "Early Out" retirement: An immediate annuity is payable to an employee upon separation if he or she has at least;

a) 25 years of service regardless of age.

b) 20 years of service and has reached age 50.  
retirement.

➤ Life Insurance: Retiring employees may continue Life Insurance if he or she:

2. has been covered for five years of

\* During an "Early Out Retirement", the age and years of service requirement is lowered to afford more people the opportunity to retire, but there is a 2% reduction of your earned annuity for every year under 55 years of age.

3. Deferred retirement (Leaving Federal service with delayed benefit payments.) -- Available at age 62 to former employees with 5 years or more of creditable civilian service who did not take a refund of contributions when they left.

➤ The requirements for continuing Health and Life Insurance into retirement is as follows:

1. The five years of service immediately preceding retirement, or

2. All service since first opportunity to enroll.

\* Coverage under the Uniformed Service Health Benefits Program which includes Champus can be included to meet the five year requirement. However, employee must be enrolled in the Federal Employees Health Benefits Program at the time of

1. is insured on date of retirement,

service immediately preceding retirement,  
or since first opportunity to enroll.

## FEDERAL EMPLOYEES RETIREMENT SYSTEM FERS

The new Federal Employees Retirement System became effective January 1, 1987. Almost all new employees hired after December 31, 1983, are automatically covered by FERS. FERS is a three-tiered retirement plan. The three components are:

- Social Security Benefits
- Basic Benefit Plan
- Thrift Savings Plan

There are three categories of retirement benefits in the Basic Benefit Plan:

1. Immediate -- If employee meets one of the following sets of age and service requirements, they are entitled to an immediate retirement benefit:

a) Five years of civilian service and has reached the age of 62, or

b) 10 years of service and has reached the Minimum Retirement Age (MRA) with reduced benefits.

c) 20 years of service and has reached the age of 60, or

d) 30 years of service

a) Five years of service and has reached the age of 62, or

b) 20 years of service and has reached the age of 60, or

c) 10 years or more of service and has

and has reached the MRA with a reduced benefit of 5% a year for each year under age 62.

2. "Early Retirement" is available in certain involuntary separation cases and in cases of voluntary separations during a major reorganization or reduction in force. To be eligible, employee must meet the following requirements:

a) 20 years of service and has reached the age of 50, or

b) 25 years of service regardless of age.

3. Deferred -- To be eligible for a deferred retirement, you must have completed at least 5 years of creditable civilian service. Unreduced benefit available at the following age/service combinations:

\* At age 62 to those who had at least 5 years of civilian service and did not take a refund.

\* At MRA with 30 years of service or more.

\* At age 60 with 20 years of service or more.

reached the Minimum Retirement Age (MRA) with a reduced benefit of 5% a year for each year under age 62.

## FEDERAL EMPLOYEES HEALTH BENEFITS FEHB

1. Employees in Permanent or Term appts are eligible to participate in the Health Benefits program upon appointment. New employees will have 31 days from the date of appt in which to register in the Health plan of their choice.

If they do not enroll in that time frame, they must wait until an open season (Each November) or other qualifying event.

2. Temporary employees are eligible to participate in FEHB after they have completed 1 year of continuous employment.

➤ **CHANGING HEALTH INSURANCE:** Employees may make changes in their health benefit coverage because of change in marital or family status as follows:

1. If their marital status changes, they may change from not enrolled to enrolled, from self only to family, or from one plan or option to another, during the period 31 days before a change in marital status to 60 days after the change. Employees must provide a copy of their marriage certificate.

3. Children who lose their status as stepchildren or foster children.

4. Children who no longer meet coverage requirements as recognized natural children.

2. If their family status changes because of a birth of a child, legal separation, discharge from military service of a spouse or child under age 22, they may change from self only to family coverage. They may not change from not enrolled to enrolled or from one plan or option to another. Employees must register within 60 days after the change. Family members who lose their status as a family member because of the following events may continue their coverage for up to 36 months. These individuals would pay both the government and employee portions of the health insurance premium plus 2 percent administrative charge. Employees must notify the Human Resources Office within 60 days of the event that caused the loss of coverage on your family member. The Human Resources Office will provide the individual with forms and information needed to enroll for temporary continuation of coverage.

1. Children who marry before reaching age 22.

2. Children who reach age 22.

5. Disabled children age 22 and older who marry, recover from their disability or become able to support themselves.

6. Former spouses who lose coverage due to divorce or annulment.

## FEDERAL EMPLOYEES GROUP LIFE INSURANCE FEGLI

All employees, except those specifically excluded by law or regulation, automatically have the basic insurance coverage unless it is waived. If an employee is not excluded, he or she automatically acquires basic insurance coverage at the time of entrance on duty on the first day in a pay status unless, before the end of the first pay period, a completed Standard Form 2817 waiving insurance coverage is filed or unless such a waiver is in effect as a result of prior Federal employment.

Employees who have the basic insurance and who have not previously declined the optional insurance coverage are eligible for the optional insurance. Every employee eligible for optional insurance must complete SF 2817, either to elect or decline the optional insurance. Standard Form 2817 must be completed and filed with the employing office within 31 days after the employee becomes eligible for optional insurance, unless an SF 2817 remains in effect from earlier employment.

1. If they marry or acquire a child, they may enroll in Option B -- Additional. They may choose a number of multiples equal to the number of family members acquired.

2. If they already have coverage of at least one multiple, they may increase the number of multiples upon marriage or acquisition of an eligible child.

### YOUR LIFE INSURANCE AT A GLANCE:

- **BASIC LIFE:** Life insurance coverage is equal to your actual rate of annual basic pay (rounded to the next \$1,000 plus \$2,000 or \$10,000, whichever is greater.
- **OPTION A - STANDARD:**  
Additional life insurance coverage of \$10,000.
- **OPTION B - ADDITIONAL:**  
You can choose additional life insurance coverage equal to one, two, three, four, or five times your actual rate of annual basic pay (after basic pay is rounded to the next \$1,000)
- **OPTION C - FAMILY:** Spouse - \$5,000 life insurance coverage. Each eligible dependent child -- \$2,500 life insurance coverage.

### CHANGING ELECTION OF LIFE INSURANCE:

- Employees covered by Basic may elect to change their life insurance coverage as follows:
  2. They furnish, at their own expense, satisfactory evidence of insurability on Request for Insurance Form, SF 2822.

### DESIGNATION OF BENEFICIARIES:

- It is not necessary for any

3. They may also elect Option C -- Family coverage upon marriage, or upon acquisition of an eligible child.

4. Elections of optional coverage because of marriage or upon acquisition of a child must be received in the Human Resources Office within 60 days after the date of the event which permits the election.

➤ If an employee has filed a valid waiver of Basic Life Insurance, they may be eligible to enroll in Basic Life Insurance or any of the options available provided they meet the two requirements for cancellation of a waiver.

1. One year has elapsed since the effective date of their last waiver, and

may want to cancel or update their beneficiaries. Changes in family status without a corresponding change in designation or cancellation of

employee or former employee to designate a beneficiary. If you do not designate a beneficiary, benefits will automatically be paid in accordance with the Order of Precedence as follows:

1. To the widow or widower;

2. If neither of the above, to the child or children;

3. If none of the above, to the parents in equal shares of the entire amount to the surviving parent.

4. If none of the above, to the executor or administrator of the estate.

5. If none of the above, to the next of kin under the laws of the state.

➤ If employees have a Designation of Beneficiary on file and had a change in marital status, they beneficiary may result in a settlement other than that desired.

➤ Designation of Beneficiary Forms may be obtained at your Human Resources Area Office.

## THRIFT SAVINGS PLAN (TSP)

1. Since 1987 Federal employees covered under the Federal Employees' Retirement System (FERS) have had the opportunity to contribute to the Thrift Savings Plan (TSP) allowing them the same type of savings and tax benefits that many private corporations offer their employees under 401(k) plans.

2. For anyone covered under FERS, contributing is a must since vesting in TSP is one-third of the retirement package. The other components are Social Security and your FERS basic annuity. FERS employees receive an agency automatic (one percent of the base salary) contribution per pay period whether or not you contribute. If you contribute to your TSP account, you will also receive Agency Matching Contributions which is the principal benefit of TSP. New employees must wait a certain period of time before they become eligible to participate in the TSP. You can start to contribute to the TSP during the second open season following your coverage by FERS.

3. If you are covered by the Civil Service Retirement System

Securities Investment Fund (G Fund). This fund consist of investment in short-term nonmarketable U.S. Treasury securities.

(2) Common Stock Index Investment Fund (C Fund). This fund gives you the opportunity to participate broadly in the U.S. Stock markets. The

(CSRS), you can take advantage of the TSP to supplement your CSRS annuity. Although you do not receive any agency contributions, you do have the benefit of tax-deferred growth of contributions in your TSP account.

a. FERS employees can contribute 1 percent up to 10 percent of their basic salary each pay period. You may contribute a percentage or a fixed dollar amount if you wish. Deductions for contributions are made through payroll deduction.

b. CSRS employees can contribute from 1 percent to 5 percent of their basic salary each pay period. You may contribute a percentage or a fixed dollar amount if you wish. Deductions for contributions are made through payroll deduction.

c. You have a choice of where you want to invest your money, whether in the Government Securities Investment Fund, Common Stock Index Investment Fund, and/or Fixed Income Index Investment Fund.

(1) Government paying less current income tax per pay period, you will have more take-home pay. You will defer paying taxes on the money you contribute until you withdraw it-usually when you retire and you are in a lower income tax bracket.

b. Tax-deferred investment earnings: The earnings on your TSP

shares of stock held by the Standard & Poor's 500 Stock fund represent ownership shares in a variety of companies. This fund and increase sharply and also decrease sharply.

(3) Fixed Income Index Investment Fund (F). The F Fund is a bond index fund consisting of a well-diversified portfolio of high-quality (low credit risk) fixed-income securities with a broad range of issuers, industries, and maturities. This is also a risk fund based on credit risk, market risk and prepayment risk.

4. In addition, there are two tax advantages to contribute to your TSP account, the before tax contribution and tax-deferred investment earnings:

a. Before tax contribution: The money you contribute is taken out of your pay before Federal and state income taxes are calculated. By

account are tax-deferred. You do not pay taxes on your TSP account earnings until you receive the money.

5. Loan Program: Once you have at least \$1,000.00 of your own contributions and earnings in your account, if needed, you may borrow from your TSP account. You have access to your own contributions and earnings for the following purposes specified by law: To purchase a primary residence, education expenses, medical expenses, or financial hardship.

6. To participate in TSP, you must do so during an OPEN SEASON which are held twice a year -- November 15 through January 31 and May 15 through July 31. If you are already contributing, you also have the option to change your contributions during the Open Season.

#### SUMMARY OF RIGHTS AND BENEFITS FOR THE SEPARATING EMPLOYEE

1. FINAL PAYCHECK: Your final paycheck is issued on the regular payroll processed at the end of the pay period during which you separate. It will include salary payment through the last day of duty. Lump sum payment for any annual leave to which you may be entitled may be on your last check or the following. If you are moving and you desire your final paycheck sent to your new address, you must be sure to put the correct address on the back of the Standard Form 52 when signing. Your check will be mailed to the address you provide to us. If you have an outstanding travel claim, be sure to advise the Voucher Examining Section, Finance & Accounting Branch, of any change of address for mailing your travel claim check.

2. CLASSIFIED DEFENSE INFORMATION: If you have had access to classified defense information during your employment here, you are reminded to be careful not to divulge such information to the public or any persons not properly entitled to such information. Unauthorized disclosure of such information may subject you to prosecution under federal statutes.

### 3. DUAL COMPENSATION:

You are cautioned that if you seek and accept further federal employment during the period covered by your lump sum payment for annual leave (if applicable) you will, in most instances, be required to refund a portion of the lump sum payment plus tax deductions.

EXAMPLE: An employee separates on 01-05-90, receives an annual leave lump sum payment of 232 hours and returns to federal employment of 02-11-90. The employee lump sum annual leave payment covers the period of 29 workdays (29 x 8 = 232) from Monday, January 8th through Thursday, February 15th. By returning to work for the Federal Government on Monday, February 11th, the employee is being paid twice for 4 working days (32 hours). The employee would be required to reimburse the government for these 32 hours of annual leave. Upon receipt of the monies from the employee, the Federal Government would credit the employee's leave records with 32 hours of annual leave.

4. UNEMPLOYMENT COMPENSATION: Federal employees have unemployment compensation rights similar to those of employees in the private industry. At the time of your separation, you will receive a notice to Federal employee (attached to this information sheet) about unemployment compensation, Standard Form 8. If you want to file a claim for unemployment compensation, you should take the Standard Form 8 and other supporting documents mentioned on that form to the nearest public employment office. They will accept your application and assist you in obtaining employment; also you will be given information on filing a claim for compensation. This is not to say that all claims for unemployment will be granted. That decision will be made by the unemployment office.

5. FEDERAL EMPLOYEE'S HEALTH BENEFITS (FEHB): If you are enrolled in this program, you will receive a Standard Form 2810, Notice of Change in Health Benefits Enrollment, showing the termination date of your enrollment (the last day of the pay period in which you separate). Coverage under your group plan automatically extends for 31 days from the termination date shown. You have two options for continuing your health benefits beyond this 31 day grace period.

a. You may convert your coverage to a Non-Group Contract, offered by your health carrier, with pre-existing conditions accepted. You would have to pay the entire cost of the coverage directly to the carrier. Please be aware that the private contract offered by your health plan may not provide the same medical coverage you were entitled to under the Government contract with your plan. If interested in this conversion, you must make a written request to your health carrier within 31 days of the date of this notice (part 1) on the SF 2810. (See the reverse of the SF 2810 for details)

b. You also have the option of enrolling in the Temporary Continuation of

Coverage (TCC) Program. Under this program, you have the opportunity to enroll in any of the Federal health plans offered in your area -- You do not have to keep the plan in which you are currently enrolled. Pre-existing conditions would be accepted and you would receive the same Medical Coverage offered under the carrier's Federal contract. Coverage would begin the 32nd day after your termination and could continue for up to 18 months. You would pay the employee's and the Government's cost of the contract, plus a 2 percent administrative fee. You have 60 days from your date of separation to enroll in this program. To enroll in temporary coverage, contact Technical Services at (916) 557-5122.

6. FEDERAL EMPLOYEE'S GROUP LIFE INSURANCE (FELGI): If you are covered under this program at the time of your separation, your life insurance continues in effect for 31 days during which time you may convert to an individual life insurance policy at standard commercial rates, without a medical examination. You will receive, along with other final papers, a Standard Form 2819, Notice of Conversion Privileges. You may convert anytime for up to 31 days after receiving the SF 2819. See back of form for instructions.

7. REINSTATEMENT PRIVILEGES:

If you are on a career appointment at the time of your separation, you have a life time eligibility to be considered for reinstatement into vacancies for which qualified. This does not mean that you have mandatory rights to reinstatement.

It does mean that you may apply for a vacant position for which you meet qualifying requirements. If you are on a career conditional appointment at the time of separation, your reinstatement eligibility expires three years after separation. This time limitation does not apply if you are entitled to veteran's preference. It is very important that you retain all copies of the Standard Form 50, Notification of Personnel Action, received during your employment, since these documents will be needed to establish your eligibility for reinstatement.

8. REQUESTING A REFUND OF RETIREMENT CONTRIBUTIONS:

You may elect to have your retirement deduction refunded. For those employees covered by CSRS, Standard Form 2802, IRS Form W-9 and Standard Form 2802B (if applicable) must be completed. For those employees covered by FERS, SF Form 3106, IRS Form W-9, and SF Form 3106A (if applicable) must be completed.

Be sure to read all instructions on the form completely. Failure to complete these forms accurately will delay the issuance of your refund. When completing the IRS Form W-9, the space which says "**Name as shown on account**" is referring to your name only.

Special notice to those employees covered by Federal Employees Retirement System (FERS): If you request a refund of your retirement contributions, you cannot redeposit this refund at a later date should you return to Federal service. Furthermore, the service covered by the refund is no longer creditable toward your retirement if you apply for a refund.

Additional forms are attached to this summary of benefits regarding retirement options for your information.

WHERE TO SEND COMPLETED REFUND OR RETIREMENT CONTRIBUTION FORMS:

1. If you have been separated 30 days or less:

DEPARTMENT OF THE ARMY  
SOUTH PACIFIC DIVISION  
CORPS OF ENGINEERS  
CESPD-HR-T  
1325 'J' STREET  
SACRAMENTO, CA 95814-2922

2. If you have been separated more than 30 days, forward the application forms to:

OFFICE OF PERSONNEL MANAGEMENT  
CIVIL SERVICE RETIREMENT SYSTEM  
EMPLOYEE SERVICES AND RECORDS CENTER  
BOYERS, PA 16017

9. RETIREMENT: The Civil Service Retirement Spouse Equity Act (CSREA) of 1984, Public Law 98-615, Amended the Civil Service Retirement Act (1) to require a joint waiver by annuitant (employee) and spouse of survivor benefits at the time of retirement; (2) to require that we recognize court orders granting survivor benefits to former spouses of Federal employees and retirees (3) to require notice before payment of lump sum refunds of contributions to the Civil Service Retirement System be given to some current spouses and former spouses entitled to survivor benefits, or a portion on an annuity, or a portion of the refund; (4) To provide that Federal employees may elect survivor annuity for former spouses; (5) To provide that certain Federal employees who were previously denied the option of providing survivor benefits to their current spouses will be permitted to provide such benefits, and (6) To provide survivor benefits payment to the certain former spouses of Federal retirees who were divorced prior to the effective date of this legislation.

10. PAYMENT OF LUM-SUM UNDER PUBLIC LAW 98-615: A former employee's or member's current spouse must be notified of the former spouse's or member's application for a lump sum payment after May 6, 1985. Any former spouse from which the employee was divorced after May 6, 1985, must also be notified of the application for lump sum payment.

## 11. THRIFT SAVINGS PLAN (TSP):

If you leave Federal Service before you are eligible for basic retirement benefits (Generally if you have less than five years of creditable service), you must transfer your vested account balance to an IRA or other eligible retirement plan. You may not leave your money in the plan or select another withdrawal method. If you leave Federal Government when you are eligible for deferred basic retirement benefits, you may leave your money in the plan, receive a life annuity, or transfer your balance to an IRA or eligible retirement plan.

If you are covered under this plan, you will receive a Form TSP-18, Validation of Retirement Information, and a Thrift Savings Plan Withdrawal package. The Thrift Savings Plan package contains a pamphlet and forms for withdrawing TSP. Review the TSP-18 and Thrift Savings Plan Package to determine what withdrawal options you have. It is important that you notify the Thrift Savings Plan office within 60 days of your withdrawal decision or if eligible, your decision to postpone withdrawal. Use TSP-7, Election of Benefits, to postpone or decide on withdrawal method. Also TSP-6, Statement Regarding Spouse(s) is required only if account balance is more than \$3,500.00. If you have any questions regarding Thrift Savings Plan review your plan booklet or contact the personnel office, Technical Services Division and/or Thrift Savings National Finance Center for more information.

Do Not mail the completed forms sooner than the day of separation and preferably as soon as possible after separation to:

THRIFT SAVINGS PLAN SERVICE OFFICE  
NATIONAL FINANCE CENTER  
P.O. BOX 61500  
NEW ORLEANS, LA 70161-1500

## 12. GENERAL INFORMATION:

Your Official Personnel Folder (OPF/201) is maintained at your servicing personnel office for a period of 30 days after your separation, unless you were separated by Reduction in Force (RIF). In this case, your folder will be maintained for the period that you are on the Reemployment Priority List (one year for career conditional employees, two years for the career employee). Thereafter, it is maintained at the National Personnel Records Center in St. Louis, MO. Provided to you is a Standard Form 293 which lists several addresses you may need if ever requesting documents from your OPF.

After separation from Federal employment if you have a balance of sick leave remaining and return to work for the Federal Government within 3 years of separation, it will be restored to your account balance. If you do not return to Federal employment

within 3 years any balance of sick leave you had previously will not be restored.

NOTE: If you have any further questions you may obtain more information from the Technical Services Division, Civilian Personnel, at (916) 557-5122.

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GAIL M. THEARLE  
Chief, Technical Services Division

## WITHIN GRADE INCREASES WIGI

- Creditable service for within grade increases. Waiting periods required between steps for permanent GS employees (full-time or part-time) and the number of Leave Without Pay (LWOP) hours allowed are below. LWOP over the amount allowed will extend the waiting period.

STEPS:	WAITING PERIOD:	LWOP ALLOWED:
2, 3, 4	52 weeks creditable service (1 year)	80 hours
5, 6, 7	104 weeks creditable service (2 years)	160 hours
8, 9, 10	156 weeks creditable service (3 years)	240 hours

- Waiting periods for WG, WL and WS within grades and amount of LWOP allowed.

STEPS:	WAITING PERIOD:	LWOP ALLOWED:
2	26 weeks at step 1 (6 months)	40 hours
3	78 weeks at step 2 (18 months)	160 hours
4, 5	104 weeks at step 3 or 4 (2 years)	240 hours

## AN OVERVIEW OF THE FEDERAL DISABILITY RETIREMENT PROGRAM

### CRITERIA FOR ENTITLEMENT TO DISABILITY RETIREMENT BENEFITS:

- a. Minimum Service Retirement
- b. Deficiency in Service
- c. Medical Condition
- d. Nexus Between the Medical Condition and the Service Deficiency
- e. Anticipated Duration of More than One Year
- f. Occurrence While Employed Under a Covered Position
- g. Reasonable Accommodation not Possible by the Agency
- h. Placement not Possible by the Agency

### PROCESSING OF DISABILITY RETIREMENT APPLICATION:

- a. Submission of an Application
  - (1) Time limit for filing
  - (2) Place of filing
  - (3) Agency filed applications
  - (4) Burden of Proof
- b. Processing Procedure

- (1) Initial
- (2) Reconsideration
- (3) Appeal to the Merit Systems Protection Board
- c. Most frequent deficiencies observed on Disability Retirement applications
- d. Effective date of Annuity
- e. Duration of the Annuity
  - (1) Recovery
  - (2) Restoration to earning capacity
  - (3) Reemployment in Federal Service
  - (4) Death

### INTERRELATIONSHIP BETWEEN THE DISABILITY RETIREMENT PROGRAM AND OTHER PERSONNEL AND ADMINISTRATIVE ACTIONS:

- a. Adverse Actions taken under Parts 43 or 75 of 5 CFR
- b. Social Security and/or OWCP determinations
- c. Optional retirement
- d. Discontinued service retirement

## INTRODUCTION:

### a. The role of the Office of Personnel Management:

- To independently adjudicate each disability retirement claim based on a review of the evidence submitted by the employee and the agency.

### b. Statutory, Regulatory and FPM Guidance:

- Statutory provisions are contained at 5 U.S.C. Section 8337 for employees covered under CSRS and 5 U.S.C. Section 8451 for employees covered under FERS.
- Regulations are contained at 5 CFR 831.50 and 831.103 for CSRS and 5 CFR 844.104 for FERS.
- FPM Chapter 830 - 1 Chapter 60 contains OPM guidance on disability retirement.
- Other pertinent laws include The Rehabilitation Act of 1973, 9 U.S.C. Sections 701 et. seq. (agencies are responsible to reasonably accommodate qualified handicapped employees) and The American with Disabilities Act of 1990.

### c. How the Determinations are Made:

- The decision is based on whether the documentation demonstrates entitlement under the statutory and regulatory criteria, not simply whether a medical condition exists.
- The law requires that the employee be disabled for useful and efficient service, i.e., be unable to meet the demands of the job or meet the conditions of employment because of a medical condition.
- While an application is pending with OPM, agency retains discretion to take any other personnel actions (e.g., adverse action.)
- Any application or part thereof received by an agency must be forwarded to OPM for adjudication.
- If service deficiency is caused by medical restrictions imposed by health care professional due to risk of sudden or subtle incapacitation or further health impairment, the medical basis must be clearly stated and be consistent with generally accepted medical practice.
- If service deficiency is caused by absence, agency needs to document how the absence affects the accomplishment of its mission.
- If service deficiency is based on unacceptable conduct, the agency must describe the specific instances of misconduct. All documentation concerning any disciplinary actions must also be provided.

- Requirements for entitlements under both Civil Service Retirement System (CSRS) and Federal Employees Retirement System (FERS) are largely the same. Differences will be noted in the text.

## CRITERIA FOR ENTITLEMENT TO DISABILITY RETIREMENT BENEFITS:

There are eight (8) basic criteria that must be demonstrated before OPM can approve a disability retirement request.

### a. Minimum Service Requirement:

- Under CSRS, 5 years
- Under FERS, 18 months

### b. Medical Condition arose while employed under a position covered by CSRS or FERS:

- Condition cannot generally be pre-existing (or post-employment).
- If pre-existing, applicant must demonstrate that condition substantially worsened during the period of employment.
- If application is the result of the effects of a progressive disease, applicant must show that he/she was able to perform job successfully at the time of entry into the position, and has subsequently become disabled (unable to render useful and efficient service) due to the progression of the disease.
- Diagnosis of a progressive disease is insufficient.

### c. Deficiency in Service:

- Less than fully successful performance on one or more of the critical elements of the position as demonstrated in last performance appraisal, or conduct problem, or attendance deficiency, or showing that the medical condition is incomplete with useful service or retention or retention in the position -- person is a threat to self or to others.
- In adjudicating an application for disability retirement, OPM will look at a person's last position of record.
  4. An estimate of the expected date of full or partial recovery or remission.
  5. Any restrictions that have been imposed on the patient's activities, the reason for the restriction, and how long they are expected to be in effect.
  6. An explanation of the effect of the medical condition on life activities both on and off the job.
  7. Narrative explanation of the medical basis for any conclusion which indicates the likelihood that the individual is, or is not, expected to experience sudden or subtle incapacitation as a result of the medical condition.

- If service deficiency is based on less than fully successful performance, agency must provide a copy of the employee's position description, performance standards, and last rating of record; identify the critical element(s) for which performance is deficient and describe the specific instances of deficient performance.

**d. Medical Condition:**

- A health impairment resulting from disease or injury, including a psychiatric disease, as demonstrated by appropriate medical documentation.
- Makes no difference whether medical condition results from on-the-job or off-the-job causes.
- Medical documentation should include:

- including:
1. Comprehensive history of medical condition,
    - Symptoms and history;
    - Past and current physical findings;
    - Results of laboratory and diagnostic studies and tests;
    - History and results of therapy;
    - Hospital summarizations;
    - Operative reports.
  2. Diagnosis of patient's condition(s).
  3. Assessment of the degree to which the medical condition(s) has/has not become static.

**f. Reasonable Accommodation not possible by the Agency:**

- "Accommodation" means an adjustment to a job and/or work environment that enables a handicapped person to perform the duties of the position.
- Any action which the agency would be obligated to take under The Rehabilitation Act of 1973.
- Agency obligation to exhaust all reasonable efforts at accommodation extend through the adjudication process of the retirement application.
- Efforts at accommodation must be documented on appropriate OPM forms.
- Accommodation may include such things as:
  - modifying the work site;
  - adjusting the work schedule;
  - restructuring the job;
  - providing interpreters, readers, etc.

**g. Placement is not possible by the**

8. Narrative explanation of the medical basis for any conclusion that duty restrictions or accommodations are or are not warranted, and if they are, an explanation of the therapeutic or risk avoiding value and the nature of any similar restrictions or accommodations recommended for activities not related to work.

9. Narrative explanation of the medical basis for any conclusion which indicates the likelihood that the individual is, or is not, expected to suffer injury or harm by carrying out, with or without accommodation, the tasks or duties of a position for which he or she is assigned or qualified.

- Only medical conditions listed on the original application will be adjudicated by OPM.
- Employee is responsible for furnishing sufficient medical evidence to support the application.

**e. Anticipated Duration of more than one year:**

- Measured from the date the application for disability retirement is filed.
- If persistence of condition occurs due to failure or refusal to accept reasonable medical treatment, application will not be approved, unless refusal is due to religious beliefs.
- Surgery and invasive medical procedures cannot be required.

of new position, all processing will stop.

**PROCESSING OF THE DISABILITY RETIREMENT APPLICATION:**

**a. Submission of an Application:**

- Generally, application must be submitted by employee.
- If he/she is unable to file due to circumstances beyond his/her control, an immediate family member can file on his/her behalf -- proof of inability will be required prior to processing of application.
- Immediate family members are spouses parents, siblings, or adult children who are responsible for the care and maintenance of the employee.
- Court-appointed guardian or personal representative may apply on behalf of employee, regardless of kinship.

**1. Time Limit for Filing:**

- Application can be filed with OPM while the employee is still on the agency's roles or within one year of the date of separation from service.

## Agency:

- Agency has an affirmative obligation to review all vacant positions at the same pay or grade and tenure within the commuting area for which the person is qualified to determine if placement is possible.
- Different requirement than accommodation.
- Extends through adjudication process and must be documented on the appropriate OPM forms.
- Employee must retire from last position of record. If the employee has been reassigned to a new position, the application and supporting documentation must be from the new position.
- If agency is unsure that placement will be successful, they might wish to detail employee to position on a trial basis.
- OPM treats voluntary acceptance of a lower graded position as a withdrawal of a disability retirement application. Upon agency notification of acceptance

## 2. Place of Filing:

- If the applicant is still on the agency's payroll, the application should be submitted through the agency to OPM.

If the applicant has been separated for more than thirty-one (31) days, the application should be sent directly to OPM per the instructions in the application Center, Boyers, PA 16017).

## 3. Agency File Applications:

- In very limited circumstances, agency can and must file an application on behalf of an employee.
- Each of the following requirements must be met:
- Agency has gone through appropriate adverse action procedures and decision to remove has been issued;
- Medical documentation in agency's possession makes agency conclude that the medical condition has caused the deficiency in service on which decision to remove was based;
- Employee is institutionalized or agency has documentation or other reason to believe the employee is incapable of making a decision to file on his/her own behalf;
- Must be more than mere unwillingness to file;
- Generally will be a mental inability, but may be a physical problem -- e.g., comatose.
- Employee has no guardian or personal representative who can act on his/her behalf, such as an attorney;
- There is no immediate family member (spouse,

- Filing is generally measured by the date of receipt of the application. However, if the application is mailed to OPM, the postmarked date will control.
- Agencies cannot constructively receive an application on OPM's behalf.
- Time limits are imposed by statute; OPM has no discretion to waive the time limit unless the applicant can demonstrate (through medical evidence) that he/she was mentally incompetent at the time of separation from service or became so within one year thereafter. In these instances, application must be filed within one year of restoration of competency or appointment of a guardian, whichever is earlier.
- Time limits apply to all applicants, including separated employees receiving workers' compensation benefits for work related injuries.
- However, OPM will not act on the application until the employee is actually from service.
- If the removal action is appealed and later overturned by a third party, the retirement action will be cancelled.
- If the agency has no medical evidence as to the employee's condition and the employee will not voluntarily provide information or cooperate in its collection, agency will not have a medically documented basis to file a disability application.

## 4. Burden of Proof:

- Applicant has the burden of proving that he/she meets all of the requirements for disability retirement and is responsible for insuring that all documentation is submitted within the applicable time frames.
- Generally, OPM will not pay for medical examination or procedures needed to provide the necessary documentation.

## B. PROCESSING PROCEDURE:

- All applications for disability retirement are processed by the Disability and Special Entitlements Division of OPM'S Office of Retirement Programs in Washington DC.

- Applicants are given multiple opportunities to perfect their claim.

### 1. Initial:

- Application is screened upon arrival and terminal cases and demonstrated hardship cases are processed expeditiously.
- In a large number of cases, OPM has to go out to the

parent, OR adult child) who is willing to file on the employee's behalf.

- Application must be filed with OPM before the separation from service.

## 2. Reconsideration

- If the application was denied, applicant can ask for reconsideration.
- Applicant must submit a written/ signed request for reconsideration. The request must be received by OPM within thirty days of the date of issuance of the initial decision.
- If applicant has additional medical information, etc. that he/she wishes to submit, but it is unavailable, he/she should submit request for reconsideration immediately and state that additional medical, etc., will follow.
- Claim is re-evaluated (taking into account any additional information submitted) and written decision is issued.

## 3. Appeal to the Merit

### Systems Protection Board (MSPB):

- If the application is denied, the employee is given appeal rights to the MSPB.
- Appeal must be filed in appropriate Regional Office within twenty-five (5) days of the date of the reconsideration.
- MSPB administrative judge conducts a de novo review of the case and issues a written decision based on the preponderance of the evidence.
- Applicant or agency can file appeal of the Regional decision to the Full Board.
- In lieu of filing an appeal to the Full Board or after issuance of a Full Board decision, either party can appeal to the U.S. Court of Appeals for the Federal Circuit.

### C. MOST FREQUENT DEFICIENCIES OBSERVED ON DISABILITY RETIREMENT APPLICATIONS:

- Medical documentation is incomplete (copies of diagnostic test and/or
- Applicant can voluntarily withdraw an application at any time prior to his/her date of separation from service or OPM's decision to allow the application, whichever is later.
- Once the application is allowed and the applicant is separated, the application cannot be withdrawn.

agency and/or the applicant to ask for additional or clarifying information. This delays the processing of the case. (See Section III., C., below for a discussion of the most frequent deficiencies.)

- Written decision is issued and both applicant and agency notified. reports are not submitted).
- Medical documentation is limited and does not contain specific information to show why the applicant is not able to perform his/her duties nor how long the restrictions will last.
- Medical reports are conclusory rather than giving specific information.
- Medical reports are not signed, dated and/or on physician's letterhead.
- Agency physician recommendations (when made) are not well documented, e.g., summary statement made with no documented basis for the recommendation.
- Agency certification of reassignment and accommodation efforts is complete (e.g., reassignment or accommodation efforts are completed but not both; attempts to assist the applicant with his/her problems are not documented.) There is no explanation of why reassignment and/or accommodation is not possible or cannot continue.
- Information on supervisory statement and/or does not detail the specific effort the medical condition has had on the applicant's ability to do the job.
- Supervisor's statement is incomplete and/or does not detail the specific effect the medical condition has had on the applicant's ability to do the job.
- Copy of position description to retire voluntary are not appraised of this fact. (Generally, there is no difference in the annuity payment.)
- Applicants who are eligible to retire voluntary are not appraised of this fact. (Generally, there is no difference in the annuity payment.)

### D. EFFECTIVE DATE OF THE ANNUITY:

- Generally, the annuity begins on the first day after pay status as an employee terminates and the disability and service requirements are met.
- Annuity is generally not payable for any period of time in which a person is receiving Workers Compensation benefits.

- OPM will only process one retirement application from an individual at any given time. If a person files an application for optional or other retirement while a disability retirement application is pending, OPM will treat the subsequent filing as a withdrawal of the prior application.

**E. DURATION OF THE ANNUITY:** Annuity continues until annuitant is found recovered, restored to earning capacity, re-employed in the Federal government, or dies.

1. Recovery:

- A disability annuity is not guaranteed for life.
- OPM has the authority to re-evaluate any annuitant up to the age of sixty (60). If a medical call-up is considered necessary by OPM annuitant will be asked to present proof that the disabling medical condition still exists.

- If the person fails to respond, payment of annuity is suspended until eligibility is satisfactorily established.

- If the person is found to be recovered, annuity will be terminated 1 months from the date of medical exam on which recovery finding is based or re-employment in Federal service, whichever is earlier.

- Recovery annuitant may be eligible for priority placement under Displaced Employee Program.

- In the event that an annuitant is found recovered and the medical condition which formed the basis for the disability annuity reoccurs at a later date, the annuitant can request reinstatement. If OPM determines annuitant can request reinstatement. If OPM determines on the basis of the medical information provided by the former annuitant that the disabling condition has reoccurred, he/she will be restored to the disability annuity roles.

2. Restoration to Earning Capacity:

- A disability annuitant is not precluded from working while collecting an annuity. He/she must annually report income from wages and/or self-employment to OPM.

- There is an earning limitation. The limitation is currently set at 80% of the current rate of pay of the annuitant's former salary.

- Should the annuitant earn greater than this

- If person fails to respond, payment of annuity will be suspended.

- Restored annuitant may be eligible for priority placement under Displaced Employee Program.

**NOTE:** Termination of disability benefits due to recovery or restoration to earning capacity when individual is not reemployed in Federal service may qualify person for annuity based on involuntary separation.

3. Reemployment in the Federal Service:

- A disability annuitant may be reemployed in the Federal service without prior approval from OPM.

- In the event an agency hires a disability annuitant, the agency must notify OPM. Notification should consist of an SF-50 showing the position and salary of the annuitant.

- On the basis of the hiring, the employee may be found recovered (if the position is the same or similar to the one which served as the basis for retirement), restored to earnings capacity (if the salary is equal to 80% or more of the former salary), of an adjustment may be made to the annuity.

4. Death: Survivor benefits are payable upon the death of a disability annuitant.

**INTERRELATIONSHIP BETWEEN**

amount in any given calendar year, his/her benefits will be suspended at the end of 6 months from the end of the calendar year in which earning capacity is restored or reemployment in Federal service, whichever is earlier.

- If earning fall below 80% level in any subsequent year, annuity will be reinstated effective the first day of the following calendar year.

- Basic problem OPM finds with separation action is inadequate medical documentation. Conclusory medical statements are not sufficient to support statutory and regulatory requirements of either and adverse action or a disability retirement application. Agencies have an obligation to insure that the medical documentation is sufficient to support the action taken.

- Under Parts 43 and 75 of 5 CFR, agencies are required to give an employee who is separated from service and claims that his leave, conduct, or performance problem is due to medical condition "Information about disability retirement" if he/she has the requisite years of applicable federal service.

- Generally, agencies will put language in the removal letter concerning disability retirement. Care should be taken in drafting this language to insure that the employee is not misled concerning these benefits.

- Appendix A contains suggested language.

## **B. SOCIAL SECURITY and OWCP DETERMINATIONS:**

- Neither Social Security nor OWCP determinations mandate approval of disability retirement application.

- However, they provide good source for medical documentation.

- An employee filing for disability retirement who is covered by FERS must also file an application for social security benefits.

- OPM must receive a receipt or notice of approval or disapproval of disability benefits from SSA before

## **THE DISABILITY RETIREMENT PROGRAM AND OTHER PERSONNEL AND ADMINISTRATIVE ACTIONS:**

### **A. ADVERSE ACTIONS:**

- OPM's decision on disability retirement is an independent decision. Other administrative actions, including separation for physical inability to perform, do not mandate OPM approval of an application.

- Generally, applicant cannot receive concurrent OWCP and disability retirement payments. The applicant will be given the opportunity to elect receipt of one payment.

- If the annuitant elects to receive OWCP payments, the disability annuity is suspended. If the OWCP payments are later discontinued, the annuitant is entitled to begin receiving the annuity upon notification of the termination of OWCP benefits.

### **C. OPTIONAL RETIREMENT:**

- Some employees are under the mistaken belief that it is generally more favorable to retire on disability than to retire optionally. In actuality, an employee eligible to retire on optional retirement is entitled generally to an annuity at the same rate whether disabled or not.

- There are additional concerns that the applicant should be aware of before submitting a retirement application, including:

- Applicant for disability retirement must prove eligible through medical and other evidence.

- Applicant under 60 is subject to earnings limitation and medical call-up.

- Disability retirement benefits are generally subject to Federal income taxation.

### **D. DISCONTINUED SERVICE RETIREMENT:**

- Three basic requirements must be met for an

any disability annuity benefits can be paid.

- Withdrawal of the SSA application, will cause OPM to dismiss the disability retirement application.

inability to perform duties, or endangerment of his/her health or that of others.

- Employee must meet age and service requirements -- 50 years of age with twenty (20) years of service or any age with twenty-five (5) years of service.

individual to be eligible for discontinued service retirement.

- Employee must be separated either by adverse action or resignation after receiving notice of proposed adverse action, under conditions not involving misconduct or delinquency, because of illness, resulting in one or more of the following -- continued absence;

- Employee must not refuse any reasonable offer of reassignment to another position (as documented on OPM form 1510).

- If employee is under age 55, benefits will be reduced by % of each year under 55.



## SUB-SECTION VIII

### INJURY COMPENSATION FOR FEDERAL EMPLOYEES

1. Purpose: The Federal Employees' Compensation Act (FECA) is administered by the Office of Workers' Compensation Programs (OWCP) of the U.S. Department of Labor. It provides compensation benefits to civilian employees of the United States for disabilities due to personal injury or disease sustained while in the performance of duty. The FECA also provides for the payment of benefits to dependents if a work-related injury or disease causes an employee's death.

Benefits provided under the FECA constitute the sole remedy against the United States for work-related injury or death. A Federal employee or surviving dependents is not entitled to sue the United States or recover damages for such injury or death under any other statute.

2. Supervisor's Role:

a. Advise employee of benefits and responsibilities/ provide assistance to the injured employee.

b. Complete claim forms in a timely manner, and verify accuracy.

(1) For a traumatic injury, an injury caused by a specific event or incident or series of events or incidents within a single day or work

shift, use form CA-1, Federal Employee's Notice of Traumatic Injury and Claim for Contribution of Pay/ Compensation.

(2) For an occupational disease, a condition produced in the work environment over a period longer than one work day or shift, use form CA-2, Notice of Occupational Disease and Claim for Compensation.

(3) Continued Pay in Traumatic (COP) injury claims, maximum entitlement is 45 days of continuation of pay, which must be used within 90 days after the first return to work. Insured medical evidence is submitted within 10 workdays after start of COP.

(4) Promptly authorize medical care within regulatory guidelines. Complete the front of CA-16, authorization for examination and/or treatment. Retroactive issuance of form CA-16 is not permitted.

(5) Assist the employee in efforts to return to work and provide work within the employee's restrictions.

Please refer to the following table prepared by the Office of Workers' Compensation Program (OWCP). Its purpose is to give brief instructions on the most important forms used in filing claims for workers' compensation.

**FEDERAL EMPLOYEES' COMPENSATION ACT BASIC FORMS**

Form No.:	Form Title:	Purpose:
CA-1	Federal Employee's Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation	Notifies supervisor of traumatic injury and serves as the report to OWCP when (1) the employee has sustained a traumatic injury that is likely to result in a medical charge against the compensation fund; (2) the employee loses time for work on any day following the injury date, whether the time is charged to leave or to continuation of pay; (3) disability for work may subsequently occur; (4) permanent impairment appears likely; or (5) serious disfigurement of the face, head, or neck is likely to result.
CA-2	Federal Employee's Notice of Occupational Disease and Claim for Compensation.	Notifies supervisor of an occupational disease and serves as the report to OWCP when (1) the disease is likely to result in medical charge against the compensation fund; (2) the employee loses time from work on any day because of the disease, whether the time is charged to leave or the employee chooses to claim injury compensation (3) disability for work may subsequently occur; (4) permanent impairment appears likely; or (5) serious disfigurement of the face, head, or neck is likely to result.
CA-2a	Notice of Employee's Recurrence of Disability and Claim for Pay/ Compensation	Notifies OWCP that an employee after returning to work, is again disabled due to a prior injury or occupational disease. It also serves as a claim for continuation of pay or for compensation based on the recurrence of a previously reported disability.

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FEDERAL EMPLOYEES' COMPENSATION ACT BASIC FORMS

Form No.:	Form Title:	Purpose:	Prepared By:	When Submitted:	Completed Forms Sent To:
CA-3	Report of Termination of Disability and/or Payment	Notifies OWCP that disability from injury has terminated and/or that continuation of pay has terminated and/or that employee has returned to work.	Supervisor	Immediately after the disability or continuation of pay terminates, or the employee returns to work.	Appropriate Human Resources Office
CA-5	Claim for Compensation by Widow, Widower, and/or Children	Claims compensation on behalf of these dependents when injury results in death.	Person claiming compensation (for self or on behalf of children) and attending physician.	Within 30 days, if possible, but not later than 3 years after death. If the death resulted from injury for which a disability claim was timely filed, the time requirements for filing death claim have been met.	Supervisor, by claimant or someone acting on claimant's behalf; then to the Human Resources Office.
CA-5b	Claim for Compensation by Parents, Brothers, Sisters, Grandparents, or Grandchildren	Claims compensation for these dependents when injury results in death.	Person claiming compensation (or guardian on behalf of children) and attending physician.	Within 30 days, if possible, but not later than 3 years after death. If the death resulted from an injury for which a disability claim was timely filed, the time requirements for filing death claim have been met.	Supervisor, by claimant or someone acting on claimant's behalf; then to the Human Resources Office.
CA-6	Official Superior's Report of Employee's Death	Notifies OWCP of the employment-related death of an employee.	Supervisor	Within 10 workdays after knowledge by supervisor of the employment-	Human Resources Office

				related death of an employee.	
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FEDERAL EMPLOYEES' COMPENSATION ACT BASIC FORMS

Form No.:	Form Title:	Purpose:	Prepared by:	When Submitted:	Completed Forms Sent To:
CA-7	Claim for Compensation on Account of Traumatic Injury or Occupational Disease	Claims compensation if (1) medical evidence shows disability is expected (and is not covered by COP in traumatic cases); (2) the injury has resulted in permanent impairment involving the total or partial loss, or loss of use, of certain parts of the body or serious disfigurement of the face, head or neck; (3) loss of wage-earning capacity has resulted.	Employee or someone acting on employee's behalf; supervisor, and attending physician (on attached Form CA-20)	In case of traumatic injury, the form must be completed and filed with OWCP not more than 5 working days before the termination of the 45 days. In case of occupational disease, this form should be submitted as soon as pay stops.	Supervisor, by employee or someone acting on employee's behalf; then to the Human Resources office by the supervisor.
CA-8	Claim for Continuing Compensation on Account of Disability	Claims compensation when loss of pay continues beyond the time covered by the claim on Form CA-7.	Employee or someone acting on employee's behalf; supervisor, and attending physician (on attached Form CA-20a)	At least 5 days before the end of the period claimed on Form CA-7 or CA-8 for the period of disability supported by medical evidence.	Supervisor, by employee or someone acting on employee's behalf; then to the Human Resources Office by the supervisor.
CA-16	Authorization for Examination and/or Treatment	Authorizes an injured employee to obtain examination and/or treatment for up to 60 days and provide OWCP with initial medical report. Treatment may be obtained from a local hospital or physician (who may be a surgeon, osteopath, podiatrist, dentist, clinical psychologist, optometrist, or under certain circumstances, a chiropractor), or from a U.S. medical facility, if available. May also be sued for illness or disease if prior approval is obtained OWCP. The employee may initially select the medical provider of his/her choice but must request any change from OWCP.	Part A -- Supervisor	Part A -- by supervisor, in duplicate, within 48 hours following first examination and/or treatment.	Supervisor, by claimant or someone acting on claimant's behalf; then to the Human Resources Office.

			Part B -- Attending Physician	Part B -- by attending physician or medical facility as promptly as possible after initial examination.	
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FEDERAL EMPLOYEES' COMPENSATION ACT BASIC FORMS

Form No.:	Form Title:	Purpose:	Prepared By:	When Submitted:	Completed Forms Sent To:
CA-17	Duty Status Report	In traumatic injury cases, provides supervisor and OWCP with interim medical report containing information as to employee's ability to return to work.	Supervisor and attending physician	Promptly upon completion of examination or most recent treatment.	Original to the employing agency and copy to appropriate OWCP office.
CA-20	Attending Physician's Supplemental Report	Provides medical support for claim and is attached to form CA-7; provides OWCP with medical information.	Attending Physician	Promptly upon completion of examination or most recent treatment.	Human Resources Office
CA-20a	Attending Physician's Supplemental Report	Provides OWCP with additional medical information in connection with supplemental claim filed on attached Form CA-8.	Attending Physician	Promptly upon completion of examination or most recent treatment.	Human Resources Office
OWCP -1500a	Federal Employee's Compensation Program Medical Provider's Claim Form	Provides OWCP with standard billing form to facilitate payment of medical bills. The form should accompany the CA-16 when employee is referred to a physician.	Attending physician; employee must sign in item 12.	Promptly upon completion of examination or treatment; physician may submit in usual billing cycle.	Human Resources Office



SUB-SECTION VIIj

TYPES OF AWARDS

SUPERIOR ACCOMPLISHMENT AWARDS

1. Special Act or Service Award: A Special Act or Service Award is a cash award given to recognize a meritorious personal effort, act, or service scientific or other achievement accomplished within or outside assigned job responsibilities. All appropriate fund employees are eligible for this award.

(a) The act, service or achievement must result in either tangible or intangible benefits or both to the Government and may involve more than one employee.

(b) The Special Act or Service Award is particularly appropriate to recognize the following short-term accomplishments:

(1) In a regularly assigned position;

(2) During a detail;

(3) At the conclusion of a successful special project; or

(4) When performance or honorary awards are not appropriate.

(c) This award is also appropriate for recognition of civilian employee ideas or improvements resulting in tangible or intangible benefits that cannot be recognized under the provisions of AR 5-17.

(d) When an award is made for an accomplishment within job responsibilities, the act or service must significantly exceed normal expectations.

(e) This award is not to be used as a substitute for other personnel actions, pay entitlements, or other forms of recognition.

(f) The act or service to be recognized must not have served either in whole or in part as the basis for a previous cash award.

(g) Cash awards range from \$5 to \$5,000 depending on the achievement being recognized.

## 2. TIME-OFF AWARD (TOA):

(a) Employees may be granted up to 80 hours off time of during a leave year without charge to leave or loss of pay as an award for achievements or performance contributing to the Army mission. The TOA may be used alone or in combination with monetary or nonmonetary awards to recognize the same kinds of employee contributions. Contributions must directly support the Army mission or result in benefits to the Government. The extent of the contribution will be considered when determining the amount of time off that is approved.

(b) The TOA may be granted in amounts up to 40 hours for a single contribution. Awards up to one day may be approved by the immediate supervisor. Awards over one day must be approved at a higher level. The TOA must be scheduled and used within one year of the approval date. The TOA does not convert to a cash payment under any circumstance.

(c) TOA will be given in increments of no less than one hour.

### 3. PERFORMANCE AWARDS: A

Performance Award is a monetary award given in recognition of high-level performance for a specific period. This award is used to recognize all appropriate fund employees, except Senior Executive Service (SES) employees.

(a) Employees with Exceptional or Highly Successful ratings of record for the most recent rating period may receive this award.

(b) Employees who exceed the minimum requirements for a Fully Successful rating of record for the most recent rating period, with at least one critical element exceeded, may receive performance awards.

(c) Employees will not be nominated automatically for a performance award based on their rating. Performance awards should be used both to reward past performance and as an incentive to stimulate future high-level performance of the awardees and their peers. The nomination should be submitted within 30 days of approval of the rating of record.

(d) Organizational accomplishments, including the employees' overall contributions to mission accomplishment, should be major considerations when recommending or approving performance awards for individual employees.

(e) Performance awards will be computed as a percentage of pay with a maximum award of 10%

(f) Receipt of one or more awards for a suggestion, invention, scientific achievement, or a special act or service during a period of high-level performance does not prevent the receipt of a performance award unless the nomination for the performance award is based on the same accomplishment(s) for which the previous award(s) was granted.

4. Quality Step Increase: A Quality Step Increase (QSI) is an additional within-grade pay increase given to General Schedule (GS) employees.

(a) GS employees with exceptional ratings of record for the current rating period are eligible to receive the QSI.

(b) An employee may not receive a QSI if the employee has received a performance award based in whole or part on the performance being recommended for recognition.

(c) The QSI will not change the effective date of the employee's normal within-grade pay increase except when receipt of a QSI places an employee in the fourth or seventh step of a grade, the waiting period for a regular within-grade increase is extended by 5 weeks under the graduated waiting period schedule prescribed by Section 5335(a), Title 5, United States Code (10 USC 5335(a)).

5. On-The-Spot Cash Award (OTS): Reward day-to-day worksite accomplishments, such as:

(a) Streamlining/ eliminating/modifying office or operating procedures.

(b) Improving efficiency, effectiveness, timeliness, or economy of operations.

(1) Eliminating/ simplifying reporting requirements.

(2) Eliminating duplicate request for information.

(c) Performing special or specific one-time assignments.

(1) Completing special reports/briefings.

(2) Rapidly completing budget requests.

(3) Completing special short suspense projects.

(d) Implementing program to improve employee morale or productivity.

(1) Setting up briefings on new office projects.

(2) Concerted or innovative effort to meet or exceed a program goal.

## HONORARY AWARDS

1. Decoration for Exceptional Civilian Service: This award consists of a medal, lapel button and citation certificate. Nomination should be submitted within 6 months after completion of the period to be cited. When granted for bravery, a minimum cash award of \$1,000 will accompany the medal.

2. Meritorious Civilian Service Award: This award consists of a medal, lapel button and citation certificate. Nominations must have established a pattern of excellence, normally demonstrated by the receipt of lower level awards. A nomination should be submitted within 6 months after completion of the act or period to be cited. When granted for bravery, a minimum cash award of \$750 will accompany the medal.

3. Superior Civilian Service Award:

This award consists of a medal, lapel button and citation certificate. It is granted by any commander or civilian equivalent. Nominations for this award will reflect superior service or achievement, or heroism of a lesser degree than that recognized by the Meritorious Civilian Service Award. The nomination should be submitted within 6 months after completion of the act or period to be cited. When granted for bravery, a minimum cash award of \$500 will accompany the medal. Employees who have established a pattern of excellence, normally recognized through the previous receipt of one or more honorary or monetary performance awards may be considered for this award.

4. Commander's Award for Civilian Service:

This award consists of a medal, lapel button and citation certificate. Any commander or civilian equivalent may approve this award. Nominations will reflect service or achievement of a lesser degree than recognized by the Superior Civilian Service Award. Employees who have established a pattern of excellence, normally recognized through the previous receipt of one or more honorary or monetary performance awards, may be considered for this award.

5. Achievement Medal for Civilian Service: This award consists of a medal, lapel button and citation certificate. It is awarded for noteworthy achievements that are of a lesser degree than those recognized by the Commander's award. Any commander or civilian equivalent may approve this award. A nomination normally sustained superior service a level of achievement sufficient to warrant this recognition or both.

6. Certificate of Appreciation for Patriotic Civilian Service: This award recognizes civilian service that contributes to the mission of the Army activity, command, or staff agency or to the welfare of Army personnel. The award consists of a lapel button and certificate. This award is granted to individual employees or groups of employees for service that is not related to the official position(s) of the individual or group. Services provided must reflect patriotic off-duty activities of a public service nature contributing to the mission accomplishment of an Army element or to the welfare of Army personnel. This award may also be used to recognize civilian employees for community service that reflects favorably on an Army activity or installation.

7. Civilian Army for Humanitarian Service: This award consists of a medal, lapel button, and certificate. Any commander at the MACOM level or higher may approve this award. This award is for individuals who have distinguished themselves by meritorious direct "hands-on" participation in an act or operation of a humanitarian nature directed toward an individual or groups of individuals. Documentation must provide evidence which substantiates on site participation in a humanitarian act or operation. Nominations should cover a period of service during which the individual performed significant humanitarian actions, deeds or achievements.

8. Certificate of Achievement: Eligibility will be determined by measuring contributions against the following example levels of achievement:

(a) Accomplished assigned duties in a commendable manner, demonstrating skill and initiative in either devising or improving work methods and procedures or both, causing a saving of manpower, time, space or materials.

(b) Significantly improved employee morale and job performance.

(c) Demonstrated personal diligence or initiative which was directly responsible for meeting mission requirements or special workload projects involving unexpected difficulties and operational demands.



9. Secretary of the Army Award for Outstanding Achievement in material Acquisition: This award consists of a silver medallion, lapel button, and citation certificate. This award is given for outstanding individual or team contributions by soldiers or civilian employees for the timely, efficient, and

economical acquisition of quality supplies and services. The award recognizes high-level achievement in projects, material, and special management activities, procurement, and projection efforts, and management of research and development.