



U.S. Army Training and Doctrine Command

Performance Management Guidebook



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Preface

Civilian Professionals are integral and indispensable to our Army's missions. Their efforts ensure our missions are accomplished and that Army processes run smoothly and efficiently.

Effective performance management systems help us accomplish missions by leveraging talent to increase efficiency, decrease cost, and boost performance. An active performance management system allows us to work collectively towards common goals, provides a clear understanding of job expectations, enables regular feedback on performance and guidance for improvement, and rewards excellence. TRADOC can have the best professionals, concepts, and equipment but "having the best" and "being the best" can't be sustained unless you communicate with your employees to ensure they understand expectations and their performance levels.

Supervisors are key to motivating, developing, and retaining our workforce. In other words, good supervisors are performance leaders. There must be a collaborative and on-going process between supervisors and employees. Every leader must strive to be an exemplary supervisor and ensure employees know where they stand, share with them honest and frank discussion on their performance, help them address areas of weakness, and reward and recognize exceptional performance. If you don't do this well, our civilian professionals will seek other positions and our talent advantage will diminish.

This guidebook is designed to assist you in engaging with your workforce on performance. Our goal is to ensure that TRADOC is a rewarding and inspiring place to work. If we can do that, we'll retain the motivated and trained professionals we need to accomplish our missions today and in the future.



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Foreword

The purpose of this guide is to provide leaders, managers, supervisors, and employees basic information and tools they need to address individual performance and create and sustain a healthy and productive results-oriented culture within TRADOC. Numerous studies have shown that performance management is the most effective tool organizations have for getting work done and achieving positive results. Effective performance management raises individual performance and productivity, fosters employee and supervisor development, increases employee motivation, and results in engaged and committed employees who in turn increase organizational excellence and effectiveness. In fact, according to Marcus Buckingham and Curt Coffman, “The number one reason why people thrive in an organization is their immediate supervisor and it’s also the number one reason why they quit.” This fact underscores how vitally important it is to TRADOC to teach supervisors how to manage their employees’ performance effectively.

The guidelines and tools in this guidebook will do just that - enable TRADOC managers and supervisors to manage employee performance effectively by communicating values and expectations to employees, developing and mentoring employees, reinforcing good performance, and correcting problems. It is especially important to remember that performance management encompasses much more than the end-of-year appraisal. Rather, it is about raising individual performance, fostering ongoing employee and supervisor development, and increasing overall organizational effectiveness by translating goals into results. Performance management is a crucial component to fostering high morale within an organization and an important investment in our most valuable resource, our people. Leaders at all levels who use this guide will ensure TRADOC is an employer of choice that works to develop and retain employees who have the skills and attributes necessary to meet the challenges of the 21st century.

Because of the importance of performance management, it is a critical element of the TRADOC Human Capital Strategic Plan (HCSP) (2013-2017), which provides the overarching framework to guide smart investment in our workforce. In particular, an excellent performance management program contributes to HCSP Goal 4 – Sustain, which seeks to sustain an environment for individual growth and organizational improvement, and manage performance to achieve excellence. Additionally, performance management supports several HCSP strategic outcomes, including producing a high-performing, results-oriented staff, fostering organizational and individual development and improvement, and ensuring a healthy and resilient workforce.

The information in this guidebook was compiled from a myriad of excellent government publications and websites. It is intended to provide a readily available, easy-to-follow reference to assist TRADOC managers and supervisors in managing their civilian workforce, and should be used in conjunction with specific guidance contained in performance evaluation systems, e.g., TAPES and DCIPS. Also keep in mind that for employees covered by a collective bargaining agreement (“contract”), the contract takes precedence over advice in this guidebook, *if* that advice conflicts with the provisions of the contract. **Appendix A**, Supervisor Performance Management Checklist, encapsulates the guidance in an easy-to-follow format. **Appendix J** lists publications and websites that provide specific guidance in particular areas and other appendices supplement the overall checklist.

Chapter 1: Performance Management Process

Key Steps in the Performance Management Process

The U.S. Office of Personnel Management (OPM), which oversees all policy to support Federal human resources departments, including performance management policy, defines performance management as ***the systematic process by which an agency involves its employees, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of agency mission and goals.***

The ***objective*** of performance management is to improve individual, team and organizational performance by setting clear and concise employee expectations; monitoring progress; aligning measurable individual goals with larger organization goals; and recognizing and rewarding individual accomplishments, demonstrated competencies, and contributions to the mission. Thus, performance management is much more than simply rating employees at the end of the annual rating cycle. In fact, rating employees is only one part of the process, and not necessarily the most important part.

Performance management is a continuous process that should be integrated into daily manager, supervisor and employee interaction. OPM outlines the ***performance management cycle*** as follows: (1) planning work and setting expectations; (2) continually monitoring performance; (3) developing the capacity to perform; (4) periodically rating performance, and (5) rewarding good performance.

Planning means setting performance expectations and goals for groups and individuals to channel their efforts toward achieving organizational objectives. It also includes the measures that will be used to determine whether expectations and goals are being met. Involving employees in the planning process helps them to understand the goals of the organization, what needs to be done, why it needs to be done, and how well it should be done.

Monitoring means consistently measuring performance and providing ongoing feedback to employees and work groups on their progress toward reaching their goals. Ongoing monitoring provides the opportunity to check how employees are doing and to identify and resolve any problems early.

Developing means increasing the capacity to perform through training, giving assignments that introduce new skills or higher level of responsibility, improving work processes, or other methods. Development efforts can encourage and strengthen good performance and help employees keep up with changes in the workplace.

Rating means evaluating employee or group performance against the elements (objectives) and standards in an employee's performance plan, summarizing that performance, and assigning a rating of record.

Rewarding means providing incentives to and recognizing employees, individually and as members of groups, for their performance and acknowledging their contributions to the organization's mission. There are many ways to acknowledge good performance, from "thank you" for a job well done to granting high-level, organization-specific honors and establishing formal cash incentive and recognition award programs.

Performance Management – An Important Supervisory Tool

The performance management process should be viewed as an important tool to assist managers and supervisors in leading employees to maximizing their growth and productivity in TRADOC. When followed, this tool will assist supervisors in communicating values and expectations to employees, developing and mentoring employees, as well as reinforcing good performance and correcting problems. In turn, an effective process involves employees, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of TRADOC mission and goals. Finally, successful implementation will not only have a positive impact on TRADOC's ability to carry out the mission, but also on the overall command climate and culture.

Chapter 2: Planning For Performance

Key Elements of Planning

In successful, effective organizations, work is planned out in advance. **Planning** means setting performance expectations and goals for work units and individuals to channel their efforts toward achieving organizational objectives. It also includes the measures that will be used to determine whether expectations and goals are being met. Regulatory requirements for planning employees' performance include establishing objectives (sometimes referred to as elements) and standards of their performance appraisal plans which are measurable, understandable, verifiable, equitable, and achievable. Employee performance plans should be flexible so that they can be adjusted for changing program objectives and work requirements. These plans should be working documents that are discussed often, and not merely paperwork filed in a drawer and seen only when writing the annual appraisal.

In the planning phase, supervisors and employees engage in dialogue to **establish clear performance expectations** for the evaluation period and document expectations in a performance plan. The performance plan contains details about two types of expectations: **performance objectives**, which describe *what* the employee needs to accomplish during the performance cycle and **performance standards**, which focus on *how well* they have to accomplish those objectives. Performance standards are the measuring tools used to evaluate employee performance. Generic performance standards preprinted on support forms must be supplemented with specific individual expectations that are established during this phase. Finally, performance objectives must be aligned with **organizational mission goals**. Employee performance plans that measure behaviors, actions, or processes without measuring results that support organizational mission goals fail to increase overall organizational effectiveness, one of the key elements of performance management.

Performance objectives and standards should be developed within the first 30 days of a performance cycle. They provide the employee a blueprint to follow in order to achieve a certain level of success in the workplace. They also provide the supervisor and employee the criteria needed to discuss, monitor, and rate performance objectively, and prevent surprises during the end of year discussion and annual appraisal. The supervisor should lead the way in developing performance objectives, demonstrating that performance plans are a priority and that the organization values high performance and development. However, they are ideally developed jointly by both supervisor and employee and, if the supervisor does not take the lead, may be initiated by the employee. Currently, the Total Army Performance Evaluation System (TAPES) is the primary Army system for planning and appraising performance and is the system used for the majority of TRADOC employees. In general, the guidelines below can be used for developing performance objectives not only in TAPES, but with other appraisal systems used within TRADOC (e.g., DCIPS, faculty systems). However, each system does have different requirements and supervisors must ensure they know and follow the specifics of their system.

The Eight-Step Process for Effective Performance Management Planning

Some performance plans are developed by copying the activities in an employee's position description. Even though a performance plan must reflect the type of work in the position description, it should not mirror it. Performance plans written from position descriptions often describe activities, not accomplishments. Instead, a performance plan should link accomplishments to organizational goals in order to communicate these goals to employees and align their efforts with the goals. To assist supervisors in developing effective performance plans, OPM has an eight-step process describing how to align performance objectives with organization goals. Each step builds on the previous step and all steps are necessary to end up with a good performance plan. The eight steps are:

- Step 1: Look at the overall picture
- Step 2: Determine work unit accomplishments
- Step 3: Determine individual accomplishments that support the work unit goals
- Step 4: Convert expected accomplishments into performance elements or objectives, indicating type and priority
- Step 5: Determine work unit and individual measures
- Step 6: Develop work unit and individual standards
- Step 7: Determine how to monitor performance
- Step 8: Check the performance plan against guidelines

Step 1: Look at the Overall Picture

In this step, supervisors review established organizational goals performance measures, and determine which goals and measures the employee's work unit can affect. Begin by asking the following:

- What are the organization's general goals as outlined in the Strategic Plan?
- What are the specific performance goals established for your program area as outlined in your directorate or suborganization strategic plan?
- What other performance measures are already in place?

TRADOC directorates and suborganizations also have plans that support reaching the TRADOC priorities. In combination, these documents, as well as other tools, such as metrics, should provide an overall basis for the development of specific, meaningful performance objectives.

Step 2: Determine work unit accomplishments

The next step is to determine work unit accomplishments (i.e., products or services). A work unit is a small group of employees, which in a traditional work structure is supervised by the same first-line supervisor. Work units are generally the smallest organizational group on the organizational chart and

include between 5 and 20 people. There are several ways to determine what to measure at the work unit level:

- A Goal Cascading Method
- A Customer-Focused Method
- A Work Flow Charting Method

Under the **goal cascading method**, organizational goals are cascaded down to the work unit level to determine those accomplishments that directly affect the organization's goals. This method works well for an organization like TRADOC, whose goals and objectives are established in strategic plans. This method requires answers to each of the following questions:

- What are my organization's specific goals and objectives?
- Which organization and suborganization goals can the work unit affect?
- What product or service does the work unit produce or provide to help the organization reach its goals?

Clearly tying work unit products and services to organization and suborganization goals is instrumental to this process. If a work unit generates a product or service that does not affect organizational goals, it may need to analyze why and eliminate the product or service.

Under the **customer-focused method**, the products or services the work unit provides to its customers must be determined. This method works well when there are no clear organization goals and when the work unit knows who its customers are and what they expect. This method is easier to apply to administrative work units, such as a human resources unit or a facilities maintenance unit. The method focuses on achieving customer satisfaction and requires answers to the following questions:

- Who are the customers of the work unit? If the work unit provides a support function, most of its customers may be internal to the agency
- What products and/or services do the customers expect? Remember to describe accomplishments, not activities

Under the **work flow charting method**, a work flow chart is developed for the work unit, establishing key steps in the work process. This method works well for work units that are responsible for a complete work process, such as the processing of a case, the writing of a report, or the production of a customer information package. This method asks work units to develop a work flow chart, which is a picture of the major steps in a work process or project. From the first step, each step is mapped out until the final product or service is achieved. This method requires answers to the following questions:

- How does the work unit produce its products or services? List the most basic steps in the process. For this purpose, it is not necessary to list all the activities required

- Which are the most important steps in the process? By determining these steps, areas for performance measurement are highlighted

Be careful not to describe activities as you map out the process. Instead, group activities into key steps by describing the results of those activities. Remember, the intent is to describe products and services.

If at all possible, the goal cascading method should be used to determine work unit accomplishments. Cascading TRADOC goals to the work unit level is the optimum way to ensure employee performance is aligned with TRADOC organizational objectives and mission accomplishment.

Step 3: Determine individual accomplishments that support the work unit goals

The performance objectives that will be measured in the performance plan can include both individual and group assignments and responsibilities. The most important, results-oriented aspects of a work unit's performance were identified in Step 2. Objectives that address individual accomplishments can be identified using a role-results matrix, which is simply a table that identifies the results each employee must produce to support the work unit's accomplishments. List the work unit accomplishments across the top of the matrix and each employee in the work unit or each job position down the left side of the matrix. In each cell, list the accomplishment (i.e., performance objective) the employee must produce or perform to support the work unit accomplishment. All performance objectives should be either quantifiable or verifiable.

Step 4: Convert expected accomplishments into performance objectives, indicating type and priority

In this step, the accomplishments that should be included as objectives or responsibilities in the performance plan are identified and developed. In some systems, weights or priorities are assigned to the objectives and each employee has at least one critical (vs. non-critical) objective, a responsibility of such importance that unacceptable performance would result in the overall performance being rated unacceptable. However, in TAPES, all objectives and responsibilities are considered critical and should be of the same relative importance to mission accomplishment. A good tool to check to see if objectives are well-written is the **SMART approach**, described at **Appendix C**.

Step 5: Determine work unit and individual measures

For each objective, determine which general measures (i.e., **quality**, **quantity**, **timeliness**, or **cost-effectiveness**) are important. Then determine how to measure each of these for the objective. If an accomplishment can be measured with numbers, determine the unit of measurement to be used. If performance can only be described (i.e., observed and verified), clarify who would appraise the work and what factors they would look for.

Quality refers to accuracy, appearance, usefulness, or effectiveness; it addresses how well the employee or work unit performed the work and/or the accuracy or effectiveness of the final product. Quality

measures can include error rates (such as the number or percentage of errors allowable per unit of work) and customer satisfaction rates (determined through a customer survey). **Quantity** addresses how much work the employee or work unit produced. Quantity measures are expressed as a number of products produced or services provided, or as a general result to achieve. **Timeliness** addresses how quickly, when, or by what date the employee or work unit produced the work. **Cost-effectiveness** addresses dollar savings or cost control for the government. Cost-effectiveness measures may include such aspects of performance as maintaining or reducing unit costs, reducing the time it takes to produce or provide a product or service, or reducing waste.

For each objective, decide which general measures apply. Questions to ask include:

- Is quality important? Does the stakeholder or customer care how well the work is done?
- Is quantity important? Does the stakeholder or customer care how many are produced?
- Is it important to accomplish the objective by a certain time or date?
- Is it important to accomplish the objective within certain cost limits?
- What measures are already available?

For each general measure, ask:

- How could (quality, quantity, timeliness, and/or cost-effectiveness) be measured?
- Is there some number or percent that could be tracked?

If the objective does not lend itself to being measured with numbers and can only be described, ask:

- Who could judge that the objective was done well?
- What factors would they look for?

Finally, write down the specific measures. If the measure is numeric, list the units you will track. If the measure is descriptive, list the factors that you will look for to observe and verify performance.

Step 6: Develop work unit and individual standards

The next step is to establish standards for the objectives. Performance standards are management-approved expressions of the performance thresholds, requirements, or expectations that employees must meet to be appraised at particular levels of performance. In TAPES, there are the four standards for responsibilities (base system) and objectives (senior system): Excellence, Success, Needs Improvement, and Fails. Employees will receive an overall performance rating based on how they exceeded, met, need improvement or failed standards for the objectives or responsibilities. A range of performance above which special recognition may be warranted and below which a performance problem exists should be understood. To help employees understand performance expectations, they

should be given a clear idea of what is considered Success in that performance, and that successful performance is viewed positively.

To develop individual standards, if the measure for the objective/responsibility is descriptive, determine what you would see or report that would verify that performance exceeds, meets, or fails to meet the fully successful standard. Remember to express performance standards in terms of the specific measures determined in Step 5. Also, be careful to avoid **absolute** standards, those standards an employee must **always** meet, unless a single failure to perform under an objective would result in loss of life, injury, breach of national security or great monetary loss.

Step 7: Determine how to monitor performance

Monitoring performance means measuring performance and providing feedback to employees. Appraisal programs must provide ongoing appraisal; in TAPES this includes, but is not limited to, conducting a mid-term progress review. In addition to the formal mid-term review, supervisors and employees should discuss performance informally and often.

Determining how to monitor performance is an important step in developing performance plans. You may have developed, using the first six steps, what you thought were great objectives and standards, and then discover that monitoring performance on objectives is not feasible, too costly, or too time-consuming. In that case, think through other specific measures that indicate performance measures that are as specific as possible. To complete this step, do the following:

- Determine what data to collect for each performance objective, the source of the data, and whether to collect all the data or just a sample
- Determine when to collect the data, who will collect it, and who will receive it
- Review existing reports for possible use as feedback reports
- Create feedback tables or graphs where necessary or applicable
- Try to design feedback process that give feedback automatically

Step 8: Check the performance plan

Using the first seven steps, you should now have developed and written an effective performance plan. There are several ways you can check your work to ensure that the objectives and standards you developed are effective and meet regulatory requirements. The following checklist is one such method.

- Are the objectives and responsibilities (TAPES) truly critical? Does failure on any objective /responsibility mean that the employee's overall performance is unacceptable?
- Is the range of acceptable performance clear? Are the performance expectations quantifiable, observable, and/or verifiable?
- Are the standards attainable? Are expectations reasonable?

- Are the standards challenging? Does the work unit or employee need to exert a reasonable amount of effort to reach the fully successful performance level?
- Are the standards fair? Are they comparable to expectations for other employees in similar positions? Do they allow for some margin of error?
- Are the standards applicable? Can the appraisers use the standards to appraise performance? Can the appraisers manage the data collected through the measurement process?
- Will work units and employees understand what is required?
- Are the objectives and standards flexible? Can they be adapted readily to changes in resources or objectives?
- Is the fully successful standard surpassable? Is it possible for a work unit's or an employee's performance to exceed it?

Summary

At the end of the planning phase, supervisor and employee should have a performance plan in place. The following should be clear to the employee:

- Their individual responsibilities and goals and how they relate to the organization
- Expected completion dates for the individual objectives that were jointly created
- What level of performance is expected to achieve objectives at the fully successful level
- Criteria to be used to review and evaluate performance
- Developmental objectives and available tools to help them perform in their current role and enhance career opportunities
- That the supervisor is invested in and willing to assist the employee to be successful
- How their goals relate to TRADOC's goals
- When supervisor and employee will meet again to discuss progress

Developing performance objectives and setting expectations are extremely important. However, supervisors must also encourage, support and invest in the short- and long-term development of employees. Thus, at the same time supervisors and employees are establishing clear performance expectations and documenting those expectations in a performance plan, they should also be planning and documenting employees' training and development objectives in an individual development plan (IDP). Development of the IDP will be discussed in Chapter 4, Developing Employees.

Chapter 3: Monitoring Performance

Key Elements of Monitoring Performance

The next step in the Performance Management cycle is monitoring employee performance. This chapter focuses on how to monitor performance effectively by giving **meaningful feedback** to employees, **documenting performance** appropriately, and **dealing with poorly performing employees** to help them perform better. In effective organizations, assignments and projects are monitored continually. This does not mean constantly checking employees to see if they are doing their work. Rather, monitoring well means consistently measuring performance and providing ongoing feedback to employees and work units on their progress toward reaching their goals. This includes:

- Communicating, including both informal and formal feedback
- Documenting performance
- Dealing with poor performers

Supervisors should view monitoring as an integral part of employee development. Regulatory requirements for monitoring performance include conducting progress reviews in which performance is compared against objectives and standards. Monitoring provides the opportunity to check how well employees are meeting standards and to change unrealistic or problematic standards. It is also an opportunity to identify unacceptable performance and provide assistance to address and improve performance before the annual appraisal. Supervisors should plan ahead by blocking out specific times to hold performance conversations to ensure day-to-day work doesn't hinder holding them.

In addition to meeting regulatory requirements, supervisors **must** continually be engaged with their employees and aware of their contributions. Only through ongoing feedback can supervisors establish and sustain employee trust, address issues before they become problems, and adjust performance and development plans to meet changing requirements. Supervisors have to invest time and effort throughout the year to cultivate an environment of trust and encourage employees to remain focused on meeting goals and priorities. **Common mistakes** that impede effective monitoring are outlined in **Appendix D**.

Feedback

Effective and timely feedback is a critical component of a successful performance management program and should be used in conjunction with setting performance goals. If effective feedback is given to employees on their progress towards their goals, employee performance improves. Employees deserve to know in a timely manner how they're doing, what's working, and what's not. Feedback can come from many different sources including managers and supervisors, measurement systems, peers, and customers. To be effective, feedback must be **specific, timely**, and given in a **positive manner**.

Specific

Feedback works best when it relates to a specific goal. Establishing employee performance expectations and objectives before work begins is the key to providing tangible, objective, and powerful feedback. Telling employees that they are doing well because they exceeded their goal by 10% is more effective than simply saying "you're doing a good job." Vague phrases don't give employees enough information on what they are doing well or what needs improvement. Meaningful feedback details what behaviors should be repeated and addresses specific areas for improvement. Thus, supervisors should use phrases such as "I really liked how you did..." or "This document is missing these three key elements..."

Timely

Employees should receive information about how they're doing in a timely manner. Performance feedback shared in real time enables employees to apply immediately what they learned, repeat good actions and behaviors, and correct poor actions and behaviors. When improvement is needed, the sooner employees know, the sooner they can correct the problem. If employees reach or exceed objectives, the sooner they receive positive feedback, the more rewarding it is. The frequency of feedback depends upon several factors, including the supervisor's relationship with the employee, issues to discuss, how often the supervisor works directly with the employee, the employee's track record, and the employee's tenure. Feedback delivered when it is most relevant enhances learning and provides the employee the opportunity to make adjustments necessary to meet performance objectives.

Positive Manner

Feedback should always be given in a manner to help improve performance. People respond better to information presented in a positive manner and feedback should be expressed positively. This does not mean supervisors should avoid problem areas. Feedback must be accurate, factual, and complete. However, it is more effective when it reinforces what the employee did right and then identifies what needs to be done in the future.

Situation-Behavior-Impact (SBI) Feedback Model

One model that incorporates the elements of specific, timely, and positive feedback is the SBI Model. First, the *situation* where and when an observed behavior occurred should be described. This gives employees a specific setting and time to remember the context of the behavior. Secondly, the specific *behavior* that was directly observed should be described, avoiding subjective judgments or assumptions about the behavior. This allows employees to know exactly what they did. Finally, the *impact* of the behavior on others should be described. This allows employees to understand how the behavior affected others, either positively or negatively. For example, a supervisor can say: "Right now (situation) I am frustrated because you are speaking over me (behavior). I cannot make my point and do not feel heard (impact). A positive example would be: "Today during the meeting (situation), you

stood up and said we wanted to help the engineers (behavior). I was happy with how you handled the situation and enabled us to make progress (impact). Once you have delivered the feedback, encourage employees to think about the behavior and explore ways to either improve if the behavior was negative, or build on the behavior, if it was positive.

Formal and Informal Feedback

Formal feedback is part of the performance appraisal system, is planned ahead of time, occurs at least twice a year, and includes a performance rating. Effective formal feedback will improve individual and work unit performance, and make TRADOC organizations more effective. With effective formal feedback, employees won't be working blind and, hopefully, will reach their goals successfully. While formal feedback is important and necessary, it should not be used exclusively. Supervisors should never wait for the mid-point review or annual appraisal to give feedback. In contrast to formal feedback, **informal feedback** does not involve a performance appraisal or rating, should occur throughout the year, and can be spontaneous or unplanned. Informal feedback must be regularly given leading up to the formal reviews so that the employee knows how to continue good performance or improve poor performance, and also what to expect from the formal reviews.

Tips and tools on how to conduct effective feedback can be found in several appendices. **Appendix C** covers how to give **SMART feedback**; **Appendix E** reviews **active listening techniques** and **Appendix F** lists **common mistakes** to avoid when giving feedback.

Documenting Performance

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

When tracking performance, documented information should be directly tied to performance objectives. Try to avoid documenting thoughts or opinions, daily tasks or responsibilities, and inaccurate information. Both supervisors and employees should document performance and supervisors should discuss roles and responsibilities with regards to documentation with employees. Documentation provides both supervisors and employees meaningful information to evaluate performance.

Dealing with Marginal Performance and Conduct

Performance vs. Conduct Problem

A general rule for determining whether an employee has a performance problem or a conduct problem comes down to two words: "can't vs. won't." If employees are trying to perform their jobs to the best of

their ability and just “can’t” do the work, they have performance problems. If employees can do the work, but just “won’t” because they choose not to, then they have conduct problems. Performance problems should be dealt with through performance counseling, training, and performance improvement plans. Conduct problems generally require disciplinary action; however, before disciplinary action is taken, supervisors must get employees’ sides of the situation and determine if there is a logical explanation. For example, a supervisor may think an employee is refusing to do something when in fact they simply don’t know how to do it or don’t understand what’s expected.

Performance Problems

TRADOC cannot afford employees who are performing duties less than successfully. Ignoring poor performance sends a signal that poor performers don’t have to follow standards and reduces equity among employees. Rarely do poor performers self-correct and their lack of performance inhibits the ability of their work unit to meet the mission. Taking action on poor performers increases morale and constructive counseling, when given early and regularly, improves performance. Good supervisors:

- **Stop marginal performance before it becomes poor performance.** When employees’ performance deteriorates, they often perform at the marginal level for a while before dropping to unacceptable. Catching and addressing poor performance before it becomes unacceptable is an easier and more effective way of dealing with performance problems
- **Consider it a wake-up call.** If supervisors talk with employee when performance first becomes marginal, these discussions may serve as a “wake-up call.” When employees first slip into marginal performance, they are more likely to be open to discussing what needs to be done to improve performance
- **Focus on performance improvement.** Supervisors can help employees improve without the negative consequences of threatening their jobs. Employees can concentrate on building necessary skills without worrying about possible unemployment at the end of the performance improvement period
- **Know that poor performance cannot be tolerated.** By addressing performance problems, supervisors signal to all employees that the organization does not tolerate poor performance

Conduct Problems

As already noted, there is a difference between marginal performers and employees with conduct problems. **Performance** refers to how well employees complete their duties. **Conduct** refers to behavior related to written or unwritten rules and procedures of the work unit or organization. Conduct problems are not necessarily related to the duties of the position and typically involve willful behavior on the part of employees. Conduct problems include instances where the employee:

- Refuses to perform assigned work
- Fails to complete assigned work
- Violates standards of conduct regulations or is insubordinate

When supervisors identify a performance or conduct problem they must meet with employees to determine the source of the problem and work to identify strategies for improvement. The supervisor must also describe in what way the performance is unacceptable, how the employee is not meeting objectives, and exactly what is required to improve performance to the fully successful level within a reasonable period of time. Speaking with employees who are not performing successfully or behaving poorly is difficult; **Appendix G** has tips for conducting these difficult conversations. Keep in mind that if the employee is a bargaining unit employee, and the employee believes disciplinary action may result, the employee has the right to request representation.

Performance Improvement Plans (PIP)

Supervisors should provide employees who are not performing successfully a **Performance Improvement Plan (PIP)** and a reasonable time, normally 90 to 120 days, to improve. While the employee is on the PIP, supervisors should also consider providing:

- Closer supervision and counseling
- On-the-job training
- Supervisory or peer counseling
- Frequent feedback
- Special assignments
- Formal training
- Referral to the Employee Assistance Program (if applicable)
- Referral for fitness-for-duty medical examination (if applicable)

Failure to bring performance up during the given period could result in the employee being **reassigned, demoted, or removed**. Supervisors should always check with their Civilian Personnel Advisory Center Management-Employee Relations point of contact to understand the formal process for addressing performance or conduct.

Disciplinary Options

Do not confuse performance and conduct. Disciplinary action is not appropriate to address performance problems. As stated above, the most severe options for employees who fail, after appropriate efforts, to improve their performance are reassignment, demotion, or removal. In contrast, progressive and punitive discipline actions are used only for behavioral offenses. For example, repeated tardiness or discourtesy may warrant progressively stronger discipline to correct the employee's behavior when counseling has not been effective. Punitive discipline is appropriate for offenses such as false statements, stealing, sexual harassment, and misuse or abuse of government property. Army Regulation 690-700, *Personnel Relations and Services (General)*, Chapter 751, *Discipline*, addresses disciplinary situations and includes a table of penalties as a guide.

Chapter 4: Developing Employees

Importance of Employee Development

Developing employees increases their capacity to perform through training and giving them assignments that introduce new skills or higher levels of responsibility. These and other developmental methods, such as coaching and mentoring, help encourage good performance, strengthen job-related skills and competencies, and allow employees to keep up with changes in the workplace. Employee career development not only benefits employees but also benefits organizations, especially when employee training and development is aligned not only with individual career objectives but with organizational mission, goals, and objectives. Employee development also improves organizational performance through increased job satisfaction and morale, decreased turnover, reduced absenteeism, and increased productivity. This chapter will focus on how to establish *individual development plans*, and *mentoring* and *coaching* employees to increase performance and to achieve career development goals, and *training*. Supervisors should support employees' professional development as an ongoing process to ensure they stay current in their fields and mission-critical competencies.

Individual Development Plans (IDPs)

An *individual development plan (IDP)* is a tool to assist employees in achieving their personal and professional development goals. It is a written schedule or plan designed to meet particular goals for development that are aligned with the organization's overall strategic plan and suborganization plans. IDPs help employees and supervisors set expectations for specific learning objectives and competencies and should be viewed as a partnership involving preparation and continuous feedback. IDPs provide an administrative mechanism for supervisors to better understand and track employees' professional goals, strengths, and development needs, which in turn results in more realistic staff and development planning. Finally, employees take personal responsibility and accountability for their career development, acquiring or enhancing the skills they need to stay current in their positions.

It is TRADOC policy for employees to use Army Career Tracker (<https://actnow.army.mil>) to develop IDPs, unless otherwise mandated by an employee's career program. As a good management practice employees should complete an IDP at least annually in conjunction with their performance plan. Creating an IDP process is a four-step process that involves continuous two-way communication between supervisors and employees.

- Step One: Determine Developmental Objectives
- Step Two: Explore Development Options and Select Activities
- Step Three: Prepare IDP and Hold Development Discussion
- Step Four: Take Action and Monitor Progress

Click on the “My IDP” and follow instructions to create a new IDP, including establishing a timeframe, reviewing IDP goals, training goals, and assignment history, saving a draft, and submitting it to the supervisor for approval. When complete, the IDP will include the following:

- Employee profile – name, position title, office, grade/pay band
- Career goals – short-term and long-term goals with estimate and actual completion dates
- Development objectives- linked to work unit mission/goals/objectives and the employee’s development needs and objectives
- Training and development opportunities – specific formal classroom training workshops, rotational assignments, shadowing assignments, on-the-job training, self-study programs, professional conferences/seminars, etc. that the employee will pursue with estimated and actual completion dates
- Signatures – including supervisory and employee signatures and date

Mentoring and Coaching

Mentoring and **coaching** are both valuable tools to aid personal and professional development. While there are similar aspects to each method, they are different in a variety of ways. Mentoring focuses on providing guidance, direction, and career advice to mentees who are seeking information about the culture of an organization and to develop as leaders. By contrast, coaching seeks to help employees develop specific competencies, learn a new system or program, or acquire a new skill as an additional responsibility. Mentoring and coaching can operate as stand-alone programs or be integrated into an organization's training and development program. Benefits of mentoring and coaching include increased employee performance, retention, commitment to the organization, and knowledge sharing.

Mentoring

Mentoring is either a formal or informal relationship between two people - a senior mentor (usually outside the protégé’s chain of supervision) and a junior protégé. The senior mentor provides guidance, direction, and career advice in order to develop the protégé as a leader on a broader scale. TRADOC’s Civilian Leader Development Program Policy encourages mentoring and our Senior Leader Development (SLD) Program has a mandated mentoring program in which each participant is assigned an SES or HQE mentor for approximately one year.

Mentoring relationships do not have to rely on formal programs. Informal mentoring programs can also be very effective. An informal mentoring partnership has less structure and can occur at any time in an employee’s career. Two examples of informal mentoring are **Flash Mentoring** and **Speed Mentoring**, both of which facilitate short-term mentoring relationships between a mentor and protégé.

- **Flash Mentoring** is a one-time meeting that enables an employee to learn and seek guidance from someone more experienced who can pass on relevant knowledge and experience. The

concept was created by a group of mid-career Federal employees passionate about leadership and leadership development.

- **Speed Mentoring** is a method for employees to receive information from one or more mentors in a time-controlled environment. Modeled after the 'Speed Dating' concept, both parties are provided the opportunity to share knowledge and experiences. Mentees benefit from the wisdom of their mentors, who in turn, benefit from the fresh perspectives their mentees bring.

Other types of mentoring to consider are outlined in **Appendix H**.

Coaching

Coaching is not based on the coach's subject matter expertise; rather it is based on coaches partnering with employees to guide them toward their goals without giving advice. Coaching is intended to provide employees with the support they need to become better performers, and so it is common practice to preface coaching with some form of performance assessment or evaluation. The coaching relationship then ends when a particular performance goal is achieved.

Coaching programs can be formal or informal. Formal coaching takes place during scheduled appointment times, both parties commit to the process, and an end goal is set. In formal coaching, both coach and the employee should spend most sessions in coaching mode – i.e., with the employee doing most of the talking, and the coach primarily engaged in listening, asking questions and giving feedback. Informal coaching may occur in everyday workplace conversations. It does not have an overall beginning or end, but is an ongoing, open-ended process. Some supervisors adopt informal coaching as a management style when providing feedback to employees.

Training

Training provides employees the means to perform in their current and future work assignments and is an integral part of employee development. Training helps employees adapt to a constantly changing environment and must be responsive to both employee and organizational needs. Specific training should be selected to improve individual and organizational performance and assist in achieving performance and mission goals. Supervisors must ensure employees are aware of training opportunities, application or nomination processes, and that they have access to training for which they are qualified. When considering employees for training, supervisors must treat all employees fairly, consider performance and mission needs equally, and ensure merit principles are not violated. Training should not be used to build morale, as a reward, or for academic degree attainment, unless the program is supported and approved by proper authority. GoArmyEd (<https://www.goarmyed.com/>) is the official virtual gateway for employees to apply for civilian education, training, and professional and leader development events. All supervisors and employees must create accounts to be able to request training.

All supervisors must also be aware of the need to train employees to perform their work safely. In fact, the Army requires employees to be held accountable for safety and occupational health

through the performance evaluation system and performance counseling sessions (AR 385-10, General Army Safety Program.)

Career Management

Starting in 2011, the Secretary of the Army initiated a major review, analysis, and revision of the Army Civilian personnel management system, called Army Civilian Workforce Transformation (CWT). One of the major initiatives of the CWT was to establish a Career Program (CP) for all occupational series and create career paths, educational, and self-development opportunities to enable the professional development of all Army civilians. A CP is an Army functional community that provides career management, education, and training to its members. CPs recently expanded to cover all Army civilian employees and now 31 CPs provide support to civilian employees.

The core CP management structure consists of:

- **Functional Chief (FC)** – The Senior Career Program Official (General Officer or SES) with enterprise-level responsibility for ensuring the readiness of employees in occupational series and CPs in support of Army missions
- **Functional Chief Representative (FCR)** – An Army Senior Civilian, designated by the FC, who serves as the principle advisor on CP management issues
- **Career Program Managers (CPMs)** – Personnel who support the FC and FCR in executing CP management responsibilities. CPMs are employed in Army Career Program Proponency Offices, Army Commands, and Army Activities

Each TRADOC Commander or Director has an Activity Career Program Manager (ACPM) whose role it is to support training, education and developmental requirements for employees in their CP. ACPMs are an invaluable resource to advise supervisors and employees on the regulatory, administrative, and procedural requirements of their respective CP and about individual development and training plans.

Chapter 5: Rating Performance

Key Steps in the Appraisal Process

Within the context of performance management, rating means evaluating employee performance against the objectives and standards established in the performance plan, summarizing that performance, and assigning a rating of record in the performance evaluation. The rating of record represents the official judgment of the employee's contribution to the organization for the entire performance period. When done correctly, this final evaluation of employee performance validates the entire process and establishes the supervisor's credibility with the employee. If the supervisor has carried out planning, monitoring, and developing effectively, most of the work for this phase of the process has already been done. In this chapter, we'll review what supervisors should consider when **writing the evaluation**, how to hold an effective **discussion** on the evaluation with employees, and how to address requests for **reconsideration** of the rating. The use of intermediate is optional. In TRADOC, the use of senior raters is determined by local policy, except in situations where the employee fails one or more of the assigned objectives. In that situation, the senior rater must review the rating assigned by the rater.

Writing the Evaluation

The **evaluation** is the **rater's** and **senior rater's**, if used, written narrative assessment of an employee's performance as related to the documented objectives. The **rater** is the individual in an employee's chain of command, normally the supervisor, who establishes performance expectations, writes the evaluation, rates the employee on each objective, and proposes an overall rating to the **senior rater**. The senior rater is an individual higher in the supervisory chain of command who approves the employee's overall performance rating and provides an overall assessment of the employee's performance and potential. In the following discussion, the term supervisor is used synonymously with rater.

Supervisors should be familiar with the performance evaluation system, which for most TRADOC employees is TAPES, outlined in DA Pamphlet 690-400, *Total Army Performance Evaluation System (TAPES) (Chapter 4302)*. The TAPES Pamphlet is an excellent resource to refer to when writing the evaluation. Before starting to write, supervisors should refer to documentation they compiled during the performance cycle as well as the employee's self-assessment. These documents provide the information needed to describe employee accomplishments, behaviors exhibited in performing the work, and contributions toward meeting or exceeding performance objectives. Throughout the process, employees should have kept track of their progress towards meeting objectives and their self-assessment is an important part of the evaluation process. Allowing employees to provide input not only invests them in the process but allows them to highlight accomplishments supervisors may have forgotten or not known about. In addition to the self-assessment and supervisor documentation, supervisors can talk to customers, peers, and incorporate other available feedback to complete the picture of the employee's performance.

A good evaluation includes:

- **Accomplishments and results** - describe the employee's impact on the organization's mission and goals. Focus on results instead of tasks
- **Behaviors** - describe how the employee exhibited the expected behaviors/values while achieving his or her goals
- **Performance level** - describe the employee's level of performance for each objective. The description must support and justify the intended rating
- **Challenges and added value** - describe how the employee overcame challenges and dealt with special circumstances. Describe how the employee added value to the organization

Once the evaluation is written, supervisors should review the following for each objective:

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

The next step is to assign **ratings** to reflect the level of the employee's performance for each objective as compared to the established performance standard. Read each performance standard level carefully beginning with the fully successful standard. Determine the level that best describes the employee's performance for each objective. Each criterion in the standard does not have to be met by the employee in absolute terms to assign a particular rating level. However, the sum of the employee's performance of the objective must, in the supervisor's judgment, meet the assigned level's criteria. If an employee does not have an opportunity to perform an objective during the rating period, no rating is assigned and the words "Not Rated" should be written for that objective. In addition, a rating of "unacceptable" or "failing" on an objective must result in an overall rating of "unacceptable" or "failing." Finally, the senior rater, if used, must review the evaluation, approve the overall performance ratings, and provide appropriate comments on performance and potential.

Discussing the Evaluation

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

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

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

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

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

Reconsideration of the Rating

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

Supervisors should contact their Civilian Personnel Advisory Center Management-Employee Relations point of contact for specific guidance on local reconsideration procedures. Of note, allegations that a rating was based on prohibited discrimination, such as race, color, religion, sex, national origin, age, physical or mental disability, or reprisal are not processed through the reconsideration procedure. Instead, these allegations are processed through Equal Employment Opportunity (EEO) complaint procedures.

Chapter 6: Rewarding Performance

Importance of Rewarding Performance

Rewarding means providing incentives to and recognizing employees, individually and as members of groups, for their performance and acknowledging their contributions to the organization's mission. An effective supervisor makes rewarding and recognizing deserving employees a priority and creates a positive, productive environment in which employees feel appreciated. The ability to reward performance is an important and flexible tool supervisors can use to communicate they care about employees and value their contributions and performance. A good system of rewards communicates to employees the kinds of actions and attitude that merit recognition and encourages sustained levels of high performance. Rewarding employees:

- **Showcases high performance** – recognizing high performance sends a clear message that the supervisor and organization value excellence and provides employees an incentive for continuing or duplicating excellent performance
- **Shows employees they are valued and drives employee engagement** – supervisory recognition consistently ranks among the highest factors among employees for making them feel the organization cares about them and their well-being
- **Retains top performers** – valuable employees need feedback and validation that they contribute to the overall success of the organization in order to remain committed to the organization

Supervisors should not limit recognition to annual awards but integrate recognition into the workplace throughout the entire year. Otherwise, they miss valuable opportunities to reward superior performance, improve morale, and build and maintain a highly motivated, productive workforce. In addition, supervisors should strive to reward excellent performance in a combination of ways, focusing both on pride in the work unit and its mission and individual performance. Recognition can range from a public “thank you,” a certificate of appreciation, to an incentive award. A careful combination of appropriate rewards not only recognizes the individual, but increases morale and esprit de corps within the work unit. In fact, the TRADOC HCSP specifically addresses rewarding top performers through a comprehensive Incentive Awards Program designed to recognize outstanding achievements and contributions of TRADOC civilian employees.

To be effective, rewards need to be **meaningful, timely, and specific**. To be meaningful, the recognition must have value to the employee who is receiving it. Nothing prohibits supervisors from having a non-committal discussion with employees regarding how they would like to be recognized should an award be recommended for their performance. However, supervisors must remain cognizant to not giving the impression that an award is forthcoming. However, it's still important for supervisors to learn and understand what motivates their employees. For example, some employees may prefer time-off awards to cash awards because their leave balance is low. Recognition also has the most positive impact when it

is given soon after the work is performed. Waiting until a formal event can dilute the impact of the recognition to both the employee and the organization. Finally, supervisors should tie recognition to specific achievements so it is clear what the employee is being recognized for, and the value those specific contributions have to the organization.

Award Categories

Supervisors should be familiar with the Army and TRADOC incentive awards program, governed by Army Regulation (AR) 672-20, *Incentive Awards*, and TRADOC Supplement 1 to AR 672-20, and DoD Instruction 1400.25, Volume 451, *DoD Civilian Personnel Management System: Awards.* Incentive awards can be divided into four basic categories – **monetary**, **time-off**, **honorary**, and **length of service**. For awards given in conjunction with the annual appraisal, the appraisal serves as the justification. For all other awards, the specific governing regulation, and TRADOC Supplement 1 to AR 672-20 (if applicable), must be consulted for format, timing and approval authority information.

- **Monetary** awards can be given to employees for high-level performance for a specific period, such as the rating period, or for employee contributions that result in tangible or intangible benefits, or a combination of both, to the organization. In order to receive a monetary performance award, employees must have an exceptional or highly successful rating for the rating period. A cash award can also be given to an employee for completion of a short-term event that had high-impact, significant benefits to the organization
- **Time-off** awards can be given up to 80 hours during a leave year without charge to leave or loss of pay as an award for achievements or performance contributing to the Army mission. Immediate supervisors can approve awards up to eight hours. Higher level authorities can grant up to 40 hours for a single contribution with no more than 80 hours granted for the leave year. A time-off award can be used alone or in combination with monetary or honorary awards
- **Honorary** awards are non-monetary awards generally used to recognize extended periods of distinguished service. There are numerous kinds of Federal, non-Federal and public-sector honorary awards. These awards both emphasize symbolic recognition of significant contributions and public recognition of organizational heroes and include letters of appreciation, certificates, medals, plaques or items of nominal value
- **Length of Service** awards recognize employees (U.S. citizens only) for satisfactory completion of Federal service, including military service, every five years to 50 years. Employees who complete five years of satisfactory service are awarded a career service certificate and those who complete 10-50 years of satisfactory service are awarded career service emblems and certificates

Appendix I contains a list of commonly used monetary, time-off, and honorary awards. Information on civilian incentive awards can also be found <http://www.tradoc.army.mil/dcspil/links.htm#awards>.

Chapter 7: Other Considerations

Diversity and Inclusion

A diverse workforce with employees who have different experiences and backgrounds enhances an organization's ability to be receptive to different traditions and ideas and thus contributes positively to the mission. The Army has an active affirmative action program to promote a diverse workforce and overcome the effects of past and present discriminatory practices, policies, or other barriers to equal employment opportunity. The goal is to achieve a workforce, at all grade levels and occupational categories, representative of the appropriate civilian labor force. Supervisors have a responsibility to treat employees fairly and evaluate them based on their performance, not on their race, color, religion, sex, national origin, age, or a handicap. In addition, they should look for opportunities to provide deserving, qualified employees opportunities for development, training, awards, and advancement. Finally, supervisors must be cognizant of the benefits of diversity, work to leverage the strengths and potential of each employee, and take quick action to prevent and stop discrimination in the workplace.

To help achieve these goals, supervisors should be familiar with merit system principles and prohibited personnel practices, which are designed to ensure fair and open recruitment and competition and employment practices free of political influence or other nonmerit factors. Together, merit system principles and prohibited personnel practices provide a framework for appropriate behavior in the workplace.

Merit System Principles

- Recruit qualified individuals from all segments of society and select and advance employees on the basis of merit after fair and open competition which assures that all receive equal opportunity
- Treat employees and applicants fairly and equitably, without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights
- Provide equal pay for equal work and recognize excellent performance
- Maintain high standards of integrity, conduct, and concern for the public interest
- Manage employees efficiently and effectively
- Retain and separate employees on the basis of their performance
- Educate and train employees when it will result in better organizational or individual performance

- Protect employees from arbitrary action, personal favoritism, or coercion for partisan political purposes.
- Protect employees against reprisal for the lawful disclosure of information in "whistleblower" situation (i.e., protecting people who report things like illegal and/or wasteful activities)

Prohibited Personnel Practices

Employees who have the authority to take, direct others to take, recommend or approve personnel actions shall not:

- Discriminate against an employee or applicant based on race, color, religion, sex, national origin, age, handicapping condition, marital status, or political affiliation
- Request or consider employment recommendations based on factors other than personal knowledge or records of job-related abilities or characteristics
- Coerce the political activity of any person
- Deceive or willfully obstruct anyone from competing for employment
- Influence anyone to withdraw from competition in an effort to improve or injure the employment prospects of any person
- Give an unauthorized preference or advantage to anyone so as to improve or injure the employment prospects of any particular employee or applicant
- Engage in nepotism (i.e., hire, promote, or advocate the hiring or promotion of relatives)
- Engage in reprisal for whistleblowing – generally, a person with personnel authority cannot take or fail to take a personnel action with respect to an employee or applicant because of a disclosure of information by the employee or applicant that he or she reasonably believes evidences a violation of a law, rule or regulation; gross mismanagement; gross waste of funds; an abuse of authority; or a substantial and specific danger to public health or safety. The prohibition does not apply, however, if the disclosure is barred by law or is specifically required by Executive Order to be kept secret in the interest of national defense or the conduct of foreign affairs, except when such a disclosure is made to the Special Counsel, the Inspector General, or a comparable agency official
- Take or fail to take a personnel action against an employee or applicant for exercising an appeal, complaint, or grievance right; testifying for or assisting another in exercising such a right; cooperating with or disclosing information to the Special Counsel or to an Inspector General; or refusing to obey an order that would require the individual to violate a law
- Discriminate based on personal conduct which is not job-related and does not adversely affect the on-the-job performance of an employee, applicant, or others
- Take or fail to take, recommend, or approve a personnel action if taking or failing to take such an action would violate a veterans' preference requirement; or
- Take or fail to take a personnel action, if taking or failing to take the action would violate any law, rule or regulation implementing or directly concerning merit system principles at 5 U.S.C. § 2301
- Implement or enforce a nondisclosure agreement or policy lacking notification of whistleblower

rights

Labor - Management Relations

Supervisors whose employees are represented by a union are obligated to deal with the union regarding the working conditions of employees within the bargaining unit and must be familiar with their responsibilities in dealing with the employees and the union.

The Federal Service Labor-Management Relations Statute recognizes that it is in the public interest to protect the right of public sector employees to organize, bargain collectively, and participate through labor organizations (i.e., unions) that the employees themselves select. When a union has exclusive recognition to represent employees, management is obligated to deal with the union regarding the working conditions of employees within the bargaining unit, which is a group of employees with common interests who are represented by the union in their dealings with management.

Unions that have exclusive recognition at an installation have a duty to fairly represent all employees in the bargaining unit regardless of union membership. In this capacity the union is able to:

- Negotiate with management in good faith concerning conditions of employment for bargaining unit members
- Obtain data normally maintained by management that are reasonably available and necessary to the union for full and proper discussion, understanding, and negotiation of subjects within the scope of collective bargaining
- Present its views to heads of agencies and other officials of the executive branch of the Government, the Congress, or other appropriate authorities
- have employees representing the union on official duty when negotiating agreements with management; and
- be represented at certain discussions management may have with bargaining unit employees

Supervisors must be familiar with the local agreement with the union to ensure they don't violate union or employee rights under the agreement. Additionally, it's important to understand that unions have an important and recognized role to represent the interests of employees with respect to grievances, personnel policies, practices and procedures, or other matters affecting general working conditions of those employees. The Civilian Personnel Advisory Center can advise and guide supervisors on all matters relating to labor-management relations.

Generational Differences

In addition to understanding the benefits of diversity and the need for equal treatment in the workforce, supervisors should learn what motivates individuals and why they behave and perform as they do. This

is not only important to elicit the best performance from employees, but also to understand what they expect from an organization in order to stay committed to that organization. In addition to the more traditional aspects of diversity, today's workforce is unique with the presence of four separate generations at once, all with different expectations of and perspectives.

Many authors have divided the four generations now present in the workforce into the following general categories: **Traditionalists**, born 1900-1945; **Baby Boomers**, born 1946-1964; **Generation X**, born 1965-1980; and **Millennials**, born 1981-2000. While categorizing people is an imperfect exercise, the following descriptions are generally recognized for each of these categories:

- **Traditionalists**, born in the shadow of the Great Depression and World War II, were grateful for a job, respect the chain of command and hierarchical top-down management, value experience and perseverance, and respect rules
- **Baby Boomers** grew up with the Vietnam War, civil and women's rights, and tend to challenge authority more than Traditionalists. They value teamwork, collaboration and relationships in the work environment. They are willing to work long hours, but prefer a democratic and friendly work environment
- **Generation X** is the first generation of "latch-key" kids who grew up with high divorce rates, dual income families, corporate downsizing and layoffs, and Watergate. Their perceptions are shaped by having to take care of themselves in an uncertain world. They tend to view work as "just a job," move easily between jobs, value productivity over working long hours, and desire a positive work/life balance
- **Millennials** grew up more sheltered from any other generation as their parents tried to protect them from a tumultuous world. They grew up in a child-focused environment during a period of economic expansion and accessible, expanding technological advantages. At work, Millennials want to feel appreciated for their contributions, value opportunities for new experiences and growth, and desire frequent feedback

Supervisors must recognize this generational diversity and the widely varying motivations and expectations of employees in today's workforce in order to be effective in motivating, developing, evaluating, and rewarding those employees. For example, understanding that Millennials might want reasonable working hours or to telecommute does not mean they are lazy or lack commitment. They may simply prefer the flexibility to surge when really needed and otherwise want more balance between work and personal time. There is no simple formula for understanding each employee. Today's supervisors must be flexible, communicate with and listen to their employees, and be prepared to challenge their own preconceptions to adjust to a rapidly evolving workforce.

Conclusion

The intent of this guidebook has been to provide TRADOC supervisors a basic understanding of the Performance Management process. It's worth repeating that performance management is the most effective tool supervisors have for improving individual performance and productivity, increasing employee motivation, and creating engaged and committed employees who increase an organization's effectiveness. We've reviewed the steps supervisors should take to set up a performance management plan with their employees, provided tips to manage each step of the process, and reviewed the benefits of an engaged, diverse workforce. Supervisors who understand their employees, know how to communicate with them, and are actively engaged in shaping and guiding their performance on a daily basis are the key to making both their employees and TRADOC successful.

Appendix A –Supervisor Performance Management Checklist

Employee Information:

Name: _____ Appraisal Cycle Dates: _____

Grade: _____ Rater: _____

Position: _____ Senior Rater: _____

Plan for Performance (Within 30 Days After Beginning of Appraisal Cycle):

- Review Position Description to ensure it is current and accurate
- Develop individual performance objectives and standards jointly with employee, tying objectives to organizational goals
- Have employee complete Individual Development Plan (IDP) and submit to supervisor for approval
- Conduct initial counseling session with employee discussing standards, expected completion dates for objectives, criteria for successful performance, and developmental, training and education objectives
- Result: Well understood, completed, and signed performance plan and IDP

Monitor Performance and Conduct (Ongoing and Mid-Point of Appraisal Cycle):

- Document employee performance toward achieving objectives to provide meaningful information to evaluate performance; encourage employee to do the same
- Provide ongoing timely and specific performance feedback, in a positive manner, to employee with at least one formal, documented mid-point feedback session, revising performance objectives if necessary
- Review employee's IDP at minimum during formal mid-point feedback session and provide guidance and support for developmental and career objectives
- Counsel employee if performance deteriorates, considering closer supervision, on-the-job and/or formal training. Consider placing employee with marginal performance on a Performance Improvement Plan (PIP) for 90-120 days
- Counsel employee if conduct problems occur, e.g., employee refuses or fails to perform assigned work or violates standards of conduct. For bargaining unit employees, employee has right to representation if disciplinary action is anticipated
- Result: Well understood, completed, and signed mid-point feedback, reviewed and revised performance and developmental objectives, PIP if appropriate

Rate and Reward Performance (End of Appraisal Cycle):

- Request employee provide written self-assessment NLT two weeks after end of the appraisal cycle, focusing on accomplishments and results in achieving performance objectives
- Write evaluation using supervisor documentation, employee self-assessment, again focusing on accomplishments, results, behaviors and level of performance for each objective

__ Schedule evaluation discussion with employee. Bring position description, performance objectives and standards, evaluation, and employee self-assessment. Review examples of behaviors that warrant the rating, examples of good performance, and opportunities for improvement. Sign evaluation; obtain senior rater, if used, and employee signatures

__ If employee requests reconsideration of the rating, try to resolve differences informally. If informal resolution is not possible, contact the Civilian Personnel Advisory Center for specific guidance on how to handle reconsideration

__ Consider whether employee performance merits recognition; consider type of award, e.g., monetary or time-off, that would be of value to employee. Make recommendation to award authority and advise employee upon approval. Ensure award information is annotated and evaluation is filed in employee's record. Note: do not advise employee of award recommendations until after approval

__ Result: Well understood, completed, and signed evaluation, appropriate award for excellent performance

Reward Performance (Ongoing):

__ Throughout the appraisal cycle, find opportunities to recognize deserving employees with meaningful and timely rewards for specific achievements, e.g., monetary, time-off, honorary awards, and/or a simple "thank you" or "job well done"

__ Result: Top performers recognized, showcased, and valued for their performance, contributing to highly motivated, productive employees who want to stay with the organization and motivating other employees to emulate high performance

Other Considerations (Ongoing):

__ Support Army efforts to achieve a diverse workforce, overcoming effects of past discriminatory practices and policies

__ Implement merit system principles; e.g., treat employees fairly and maintain high standards of integrity and conduct

__ Avoid prohibited personnel practices, e.g., discrimination, retaliation, and political coercion

__ Understand the agreement with the union, including rights of unions to represent bargaining unit employees, negotiate with management on conditions of employment, obtain certain data, be present at certain employee discussions, and rights of employees to conduct certain union business on duty

__ Be sensitive to generational differences between Traditionalists, Baby Boomers, Generation X, and Millennials, and understand what may motivate individuals in different generations to behave and perform as they do

__ Result: Employees are treated fairly based on merit, and intentional and unintentional biases are avoided, and grievances averted

Helpful resources and websites are listed at Appendix J of the TRADOC Performance Management Guidebook

Appendix B - SMART Objectives and SMART Feedback

Another method to develop performance objectives and plans is by following the **SMART** approach. This method addresses Steps 1-4 in the eight-step process, and is best used as a check on the process. **SMART** stands for **S**pecific, **M**easurable, **A**ttainable/**A**chievable, **R**elevant, and **T**ime Bound/**S**pecific.

- **Specific** – What exactly are we going to do for whom? Clearly state the expected accomplishment that can be observed. To be specific, an objective must define an observable action, behavior, or achievement; link to a level of performance, frequency, percentage, or other number. Specific is related to the result, not the activities to achieve that result
- **Measurable** – is the objective quantifiable and can you measure it? State the criteria for measuring accomplishments. Provide a method to allow tracking, recording, and validating the quality of a specific behavior, action, or outcome. Define quantity (how many), quality (how good), resources (how much) and time (how long, how often). When defining the measurability of a performance objective, it needs to be set at successful performance level. Employees do not want expectations set so high that they have no opportunity to exceed expectations. As in the eight-step process, absolute standards should normally be avoided
- **Attainable/Achievable** – Can the objective be accomplished in the proposed time frame with the resources and support that are available? The objective must be feasible within resources, appropriately limited in scope, and within the work unit's or employee's control and influence
- **Relevant** – Will this objective have an effect on the desired goal or strategy? Relevant relates to the relationship between the objective and work unit goals and organizational goals
- **Time Bound** – When will this objective be accomplished? A specified and reasonable time frame should be incorporated into the objective statement, taking into consideration the environment in which the change must be achieved; the scope of the change expected; and how the objective fits into the overall work unit plan

The following are examples of poorly written objectives: "Lower the cost of this year's Personnel conference." and "Submit a budget for next year's TDY travel." They become SMART objectives by modifying them as follows: "Reduce the cost of the Personnel conference by 25% from process improvement and better procurement management." and "Submit a budget for next year's TDY travel that accounts for all known requirements and costs by 31 March."

The **SMART** approach can also be used for feedback:

- **Specific** – feedback should describe what was observed and the results achieved
- **Measurable** – feedback should provide results in terms of measureable impact; common measurement types are quality, quantity, timeliness, or cost-effectiveness

- ***Attainable/Achievable*** – feedback should say what was achieved and should be framed in terms of how these achievements compare to performance standards
- ***Relevant*** – feedback should characterize employee contributions in light of job duties and the organization’s goals
- ***Time-specific*** – feedback should include a time component and discuss how the contribution(s) impacted due dates and critical path timelines

Appendix C – Common Mistakes that Impede Effective Monitoring

- **Waiting for the performance appraisal to give feedback.** Ongoing feedback throughout the year, whether identifying work or behaviors that were done well or areas that need improvement, gives employees information they need to continue performing well or to make the necessary changes to improve. Waiting until the formal mid-year review or annual appraisal to deliver this information does not give employees the opportunity to improve. Regular informal feedback leading up to formal reviews ensures employees know what to expect
- **Being too positive or negative.** Some supervisors are uncomfortable giving positive feedback and don't provide employees constructive criticism needed to improve. Other supervisors are too negative, making employees feel they can't do anything right. Supervisors must appraise performance honestly and at the same time ensure employees understand and appreciate what is being conveyed. Being too positive or negative can result in employees not believing what is said and inhibits effective communication
- **Talking Not Listening.** One-way communication is not the most effective way to provide feedback. Listening to employees and understanding their viewpoints is just as important. During two-way conversations supervisors learn how to help employees improve performance by removing obstacles or providing training
- **Relying on e-mail to provide feedback instead of meeting face-to-face.** Far too many supervisors use e-mail as a substitute for personal interaction. While e-mail is a powerful and convenient medium for communication, it is not an effective way to provide feedback. First, e-mail lacks cues like facial expression and tone of voice, making it difficult to decode meanings. Second, e-mail can be a careless form of communication. Finally, supervisors cannot develop personal rapport over e-mail, and build the trust necessary to face difficult times

Appendix D - Active Listening Techniques

Active listening refers to listening skills that, when implemented, allow employees to feel heard and understood. As supervisors, having the ability to provide good feedback along with active listening enables communication of key information to employees and the ability to accurately construe what employees intended to say. Active listening increases the ability to resolve problems and conflicts and fosters trust between supervisors and employees. There are five key elements of active listening:

- **Pay attention** - give the employee undivided attention, and acknowledge the message. Non-verbal communication also "speaks" loudly
 - Look at the speaker directly
 - Put aside distracting thoughts and don't mentally prepare a rebuttal
 - Avoid being distracted by environmental factors
 - "Listen" to the speaker's body language
 - Refrain from side conversations when listening in a group setting
- **Show you are listening** - use body language and gestures to convey your attention
 - Nod occasionally
 - Smile and use other facial expressions
 - Note your posture and make sure it is open and inviting
 - Encourage the employee to continue with short comments, e.g., "yes" and "uh huh"
- **Ask questions** - personal filters, assumptions, judgments, and beliefs can distort what we hear. As a listener, your role is to understand what is being said. This may require you to reflect what is being said and ask questions
 - Reflect what has been said by paraphrasing. "What I'm hearing is..." and "Sounds like you are saying..." are great ways to reflect back
 - Ask questions to clarify certain points. "What do you mean when you say..?"
 - Summarize the speaker's comments periodically
- **Defer judgment** -interrupting is a waste of time, frustrates the speaker, and limits full understanding of the message
 - Allow the speaker to finish
 - Don't interrupt with counter arguments
- **Respond appropriately** - active listening is a model for respect and understanding. You are gaining information and perspective. You add nothing by attacking the speaker or otherwise putting him or her down
 - Be candid, open, and honest in your response
 - Assert your opinions respectfully
 - Treat the other person as he or she would want to be treated

Appendix E- Common Mistakes to Avoid when Giving Feedback

- **Judging individuals, not actions.** Don't give feedback in judgmental terms, but in descriptive terms. Saying to employees "you were too abrasive" or "you need to be a better team player," puts them on the defensive. Rather than leading to a useful conversation, feedback becomes a cycle of "attack" and "defend"
- **Giving vague feedback.** Don't use general, cliché phrases such as "you are a good leader," "you did a great job on the presentation" or "you have a lot of common sense." Employees may be happy to get compliments, but they won't know exactly what they did to earn praise. To encourage employees to repeat productive behavior, they must know specifically what they did
- **Providing second-hand feedback.** Don't say "So-and-so said you seem confused about your new assignment" or "Team members are telling me they feel you are micromanaging them." Whenever possible, give feedback based on behaviors you have personally observed and can describe
- **Sandwiching negative feedback between positive messages.** Your intentions may be good, but it doesn't work. Both positive and negative feedback should stand alone
- **Using exaggerated feedback with generalities.** Using language like "always" or "never" puts employees on the defensive and causes them to discount the feedback altogether
- **Analyzing motives behind behavior.** Telling employees they are behaving a certain way because of an impending divorce, jealousy over a co-worker's advancement or burnout is likely to cause resentment. Don't assume you understand intentions or motives
- **Talking too long.** Not knowing when to stop dilutes the message and can create more problems. Don't give advice, describe personal experiences or try to solve an employee's problems. Give employees time to absorb the information they have received and consider what, if anything, they might do about it
- **Making implied threats.** Telling employees their jobs are in jeopardy doesn't reinforce good behavior or illustrate bad behavior. It only creates animosity
- **Using humor inappropriately.** Sarcasm and criticism couched as a joke are poor substitutes for feedback. Saying "good afternoon" to a colleague who is ten minutes late for a morning meeting is ineffective and potentially destructive
- **Posing feedback as a question.** Asking a question – "Do you think you can pay closer attention during our next meeting?" – is too indirect to be effective feedback. Use direct statements instead.

Appendix F – Difficult Conversations

Difficult conversations can be managed by following five phases to conduct such a conversation, identified by the acronym **OCEAN**.

- **Opening** – set the stage for the meeting and identify the reason for the meeting
- **Creating** – address expectations and describe the gap between employee conduct or performance and those expectations
- **Engaging** – Verify expectations and employ “active listening” techniques
- **Agreeing** – confirm the issue and collaborate with the employee on a solution
- **Next Steps** – Develop an improvement plan and define commitments by both supervisor and employee

In addition to meeting with the employee, supervisors should review and use the following tips to deal with employees who are performing or conducting themselves poorly:

- **Communicate clearly** - supervisors must communicate clear performance standards and expectations. Look at existing performance standards and make changes if standards don't really communicate expectations. If employees don't understand what is expected, it is very hard — sometimes impossible — for them to meet those expectations
- **Provide frequent feedback** - positive, constructive feedback, given whenever needed, is crucial to ensuring that employees know what they've done right and what needs improvement. Feedback should be specific, meaningful, and timely
- **Increase supervision** - marginal employees often require more direction. Supervisors should work closely with them, with the goal for employees to work competently and independently
- **Give positive reinforcement** - recognize good performance when it happens. Recognizing when marginal employees do something correctly helps clarify expectations, provides positive reinforcement, and increases the likelihood employees will repeat the performance
- **Mentor the employee** - have an outstanding employee serve as a mentor for the marginal performer. In this way, supervisors provide a model of desired performance
- **Provide training** - in some situations, marginal employees may need training because they lack the skills to perform at the Fully Successful level. Training can include formal classroom sessions, on-the-job training, and automated training aids

Appendix G – Types of Mentoring

- **Group Mentoring** is when one mentor is teamed with several protégés who meet at the same time. As the mentor poses questions, listens and reflects he or she engages all members of the group in the conversation. Each mentee has their own experience and insight to share and can draw their own learning from the discussion.
- **Peer Mentoring** is usually a relationship with an individual within the same grade, organization, and/or job series. The purpose of peer mentoring is to support colleagues in their professional development and growth, to facilitate mutual learning and to build a sense of community. Peer mentoring is not hierarchical, prescriptive, judgmental or evaluative.
- **Reverse Mentoring** is the mentoring of a senior person (in terms of age, experience or position) by a junior (in terms of age, experience or position) individual. Reverse mentoring aims to help older, more senior people learn from the knowledge of younger people, usually in the field of information technology, computing, and Internet communications. The key to success in reverse mentoring is the ability to create and maintain an attitude of openness to the experience and dissolve the barriers of status, power and position.
- **Situational Mentoring** is the right help at the right time provided by a mentor when a protégé needs guidance and advice. It is usually short term addressing an immediate situation but can transition to a more long-term connection.
- **Supervisory Mentoring** is an inherent responsibility of leadership. The IDP usually outlines expectations for supervisory coaching and feedback. Most frequently, this mentoring is informal and related to day-to-day guidance about the current job. As leaders, supervisors should also encourage outside mentoring partnerships, informal and formal, and allow their employees the time to work on them.
- **Team Mentoring** involves more than one mentor working with one protégé or a group of protégés. Team mentoring allows mentors to work together or separately to help the protégé reach identified developmental goals. If mentors work separately, they should communicate regularly to share information and ideas.
- **Virtual Mentoring** uses videoconferencing, the Internet, and e-mail to mentor individuals. This is beneficial for those who are unable to leave their workplace. Virtual mentoring is usually less expensive compared to face-to-face mentoring and provides an individual with more choices for mentors. Even with virtual mentoring, it is recommended the mentor and protégé meet face-to-face at least once.

Appendix H – Commonly Used Awards

Monetary and Time-Off Awards can be Special Act or Service Awards or Performance Awards:

- **On-the-Spot Cash Awards (OTS)** are small Special Act or Service Awards (\$50 to \$500) which may be given by a supervisor for the day to day accomplishments of subordinate employees
- **Time-Off Awards (TOA)** may be granted up to 40 hours per contribution (limited to 80 hours total during a leave year) for achievements or performance contributing to the Army mission. Immediate supervisors have authority to grant up to eight hours time off
- **Quality Step Increases (QSI)** are an additional within-grade pay increase given to an employee who has performed all job elements in an exceptional manner for at least 12 months and expected to continue to perform at the same or higher level. (Note: an employee can only receive one QSI within a 52-week period)
- **Performance Awards** are monetary awards given to employees in recognition of high performance for a rating period and can be a TOA, one-time lump sum cash payment, or a QSI

Honorary Awards (listed below in order of precedence) are non-monetary awards which recognize extended periods of distinguished service:

- The **Decoration for Exceptional Civilian Service (military equivalent: Distinguished Service Medal)** is the highest Department of the Army (DA) honorary award and may be granted by the Secretary of the Army or a major commander. Nominees must have established a pattern of excellence and achievement which normally have been recognized by previous honorary awards up to and including the Meritorious Civilian Service award. Levels of recognized achievement include: accomplished assigned duties of major program significance to DA in such a way as to have been clearly exceptional or preeminent among all persons who have performed similar duties; exhibit great courage and voluntary risk of life in performing an act resulting in direct benefit to the government or its personnel
- The **Meritorious Civilian Service Award (military equivalent: Legion of Merit)** is the second highest DA honorary award and may be granted by the Secretary of the Army or a major commander. Nominees must have established a pattern of excellence, normally demonstrated by the receipt of lower level awards. Levels of recognized achievement include: accomplished supervisory or nonsupervisory duties in an exemplary manner, setting a record of achievement, and inspiring others to improve the quantity and quality of their work, demonstrated unusual initiative and skill in devising new and improved equipment, work methods, and procedures; exhibited unusual courage or competence in an emergency, while performing assigned duties, resulting in direct benefit to the government or its personnel

- The ***Superior Civilian Service Award (military equivalent: Meritorious Service Medal)*** is the third highest DA honorary award, and may be granted by any commander (major general and above) or civilian equivalent. Nominations reflect superior service, achievement, or heroism to a lesser degree than recognized by the Meritorious Civilian Service Award
- The ***Commander's Award for Civilian Service (military equivalent: Army Commendation Medal)*** is the fourth highest DA honorary award and be granted by any commander (colonel and above) or civilian equivalent. Nominations reflect levels of achievement such as: demonstrated initiative and skill in devising new or improved equipment , work methods, and procedures; demonstrated leadership in performing assigned duties that resulted in improved productivity of the unit; or professional or public relations service which resulted in considerable favorable publicity in the local area
- The ***Achievement Medal for Civilian Service (military equivalent: Army Achievement Medal)*** is the fifth highest Department of the Army (DA) honorary award and may be granted by any commander (lieutenant colonel and above) or civilian equivalent. Nominations must either cover a period of sustained superior service and be for noteworthy achievements that are of a lesser degree than those recognized by the Commander's Award
- The ***Certificate of Appreciation for Patriotic Civilian Service*** recognizes patriotic civilian service that contributes to the mission of an Army activity, command, staff agency, or to the welfare of Army personnel and can be approved by commanders (lieutenant colonel and above)
- The ***Civilian Award for Humanitarian Service*** recognizes employees who have distinguished themselves by meritorious direct "hands-on" participation in an act or operation of a humanitarian nature and can be approved by any commander at ACOM or higher level
- ***Certificates of Achievement*** recognize employees who have performed in a commendable manner, for example, demonstrating skill and initiative in improving or devising work methods and procedures, or saving manpower, time, space, or materials
- ***Certificates of Appreciation*** recognize employee accomplishments when a monetary or higher level honorary award are not appropriate that may be granted by local commanders and other authorized individuals

Appendix I - Index of Resources and Websites

Publications

Addressing and Resolving Poor Performance, A Guide for Supervisors, Employee Services Partnership & Labor Relations, Office of Personnel Management, February 2013

A Handbook for Measuring Employee Performance: Aligning Employee Plans with Organization Goals, Workforce Compensation and Performance Service, Office of Personnel Management, September 2011

Department of Defense Instruction 1400.25, Volume 451, *DoD Civilian Personnel Management System: Awards*, November 4, 2013

Army Regulation 385-10, *The Army Safety Program*, 27 November 2013

Army Regulation 672-20, *Incentive Awards*, 17 December 2013 and TRADOC Suppl 1 to AR 672-20, 19 January 2005

Army Pamphlet 690-400 (Ch 4302), *Total Army Performance Evaluation System (TAPES)*, 1 June 1993

Army Regulation 690-400, *Total Army Performance Evaluation System*, 16 October 1998

Army Regulation 690-700, *Personnel Relations and Services (General)*, Chapter 751, *Discipline*

Army Regulation 690-950, *Career Management*, 31 December 2001

Best Practices: Mentoring, September 2008, US Office of Personnel Management

Buckingham, Marcus and Coffman, Curt in article by Trinkka, Jim, *What's a Manager to Do?*, 2006

Title 5, United States Code Section 2301, *Merit Principles*

Title 5, United States Code Section 2302, *Prohibited Personnel Practices*

TRADOC Human Capital Strategic Plan (HCSP) (2013-2017)

Websites:

US Office of Personnel Management
www.opm.gov

Army Knowledge On-Line (AKO)
<https://www.us.army.mil>

Army Benefits Center – Civilian
<https://www.abc.army.mil>

US Army Publishing Directorate - Regulations, pamphlets, and manuals online
www.apd.army.mil

Army Civilian Personnel On-Line (CPOL)
<http://cpol.army.mil>

Personnel Management and Information Support System (PERMISS) on Army Civilian Personnel On-Line
<http://cpol.army.mil/library/permis/>

GoArmyEd - Virtual gateway to apply for civilian education, training, and leader development events
<https://www.goarmyed.com/>

Army Career Tracker - Create Individual Development Plan, Career Development Plan, Identify Mentors
<https://actnow.army.mil/>

Army Civilian Training & Leadership Development - Civilian Leader Development, Competitive Professional Development, Career Program and Academic Degree Training Information
<http://www.civiliantraining.army.mil/Pages/Homepage.aspx>

Army Civilian Training, Education and Development System (ACTEDS) - Career programs information and ACTEDS catalog
<http://cpol.army.mil/library/train/acteds/>

Army Management Staff College - Civilian Education System (CES) Registration for Courses
www.amsc.belvoir.army.mil

Supervisor Development Course, Army Management Staff College
<http://www.amsc.belvoir.army.mil/academic/sdc/>

Civilian Human Resources Training Application System (CHRTAS) - Civilian Human Resources Training, Civilian Education System, Management Development Course, and Action Officer Development Course
<https://www.atrrs.army.mil/channels/chrtas/default.asp>

Civilian Incentive Awards
<http://www.tradoc.army.mil/dcspil/links.htm#awards>