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CIVILIAN PERSONNEL

**SUPERVISOR'S GUIDE  
TO PERSONNEL  
MANAGEMENT**

DEPUTY CHIEF OF STAFF FOR PERSONNEL...

Ft Monmouth, NJ

U.S. ARMY  
COMMUNICATIONS-  
ELECTRONICS COMMAND



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Web References for Personnel Management

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<http://www.monmouth.army.mil/cecom/pandt/index.html>

CECOM Policies and Publications

<http://intranet.monmouth.army.mil/intranet/cecomint.nsf>

Army Civilian Personnel On-Line (CPOL)

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

Office of Personnel Management

<http://www.opm.gov>

AMSEL-PT 22 January 01

MEMORANDUM FOR: All Supervisors

SUBJECT: Supervisory Development

1. The Army has prescribed for supervisors a mandatory developmental program that is designed to reinforce fundamental supervisory skills and boost confidence in managing human resources. The course, Supervisor Development Course (SDC), is available on-line from the Army Institute for Professional Development (AIPD) web site <http://www.atsc.army.mil/accp/aipd.htm>. This mandatory course provides new supervisors with information on the basic skills necessary to successfully manage work and lead people. The SDC is made up of two subcourses, and both must be completed. Subcourse titles are: ST5001 Managing and Leading; ST5002: Human Resources Management. Training must be completed within six months of appointment to first supervisory position.

2. No challenge can be greater or more gratifying than successful leadership of the workforce and the realization that a supervisor's influence can mean the difference between excellence and mediocrity,

success and failure, or “go” and “no-go”. The keen interpersonal insights essential for hiring, promoting and rewarding employees impose demanding responsibilities upon a supervisor, who also must maintain the technical competencies of their function. Resolving conflict, motivating employees and keeping workforce skills at the highest level of productivity and innovation intensify those demands. For those reasons, DCSPER has developed an Advanced Supervisory Development course to supplement the on-line course mandated by HQ DA referenced in paragraph 1. The advanced course is also available to supervisors who have solid supervisory experience but need to refresh personnel management information and gain additional insight on recent regulatory and procedural guidance. The development of this course is the product of DCSPER interaction with supervisors dealing with personnel issues and problems, and our own observations about the kinds of information needed by supervisors to be effective and progressive in personnel management responsibilities.

3. The information contained in this Supervisor’s Guide was developed to supplement and reinforce the various Personnel Management modules that make up the Advanced Supervisory Development Course. It outlines roles, responsibilities, definitions, and techniques. We hope you will find it a valuable tool to assist you in carrying out day-to-day personnel management

AMSEL-PT

SUBJECT: Supervisory Development

responsibilities—whether it’s preparing job descriptions, identifying training needs, setting work standards and evaluating employee performance, motivating the workforce, applying appropriate measures to correct disciplinary infractions, recognizing and rewarding employee accomplishments, attracting new talent into the workforce, or setting the overall goals to be accomplished by capable and empowered employees.

4. We recognize that human resource management involves an intricate blend of technical knowledge, behavioral sophistication and sound judgment. I hope you will find the advanced training modules and this guidance booklet of significant value in fulfilling your personnel management responsibilities and achieving your full leadership potential.

5. Specific references to laws, regulations, etc., are provided at the beginning of most chapters. While current references are provided, changes do occur. The Civilian Personnel Advisory Center (Deputy Chief of Staff for Personnel) is available to provide advice and

assistance whenever needed. You can also access relevant regulatory and other personnel related information through Army Civilian Personnel On-line (CPOL), whose Internet address is <http://www.cpol.army.mil>

6. CECOM Bottom Line: THE SOLDIER.

DEBORAH T. DEVLIN  
Deputy Chief of Staff  
for Personnel

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DEPARTMENT OF THE ARMY  
HEADQUARTERS, U.S. ARMY COMMUNICATIONS-ELECTRONICS  
COMMAND

FORT MONMOUTH, NEW JERSEY 07703-5000

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Civilian Personnel

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## CHAPTER 1

### MERIT PRINCIPLES

#### 1-1. References.

5 U.S.C. 2301 (b), Merit System Principles  
5 U.S.C. 2302 (b), Prohibited Personnel Practices  
DoD Joint Ethics Regulation 55007.R

#### 1-2. Personnel Practices and Action in the Federal Government.

Personnel management embodies the Merit System Principles. The merit system principles are the public's expectations of a system that is efficient, effective, fair, open to all, free from political interference, and staffed by honest, competent, and dedicated employees. As the Department of Army experiences continued change in the management

of human resources (centralization, deregulation, delegation, etc.), it becomes increasingly important that line supervisors and managers incorporate the merit system principles into every decision process they use.

The merit system principles are:

(1) Recruitment should be from qualified individuals from appropriate sources in an endeavor to achieve a work force from all segments of society, and selection and advancement should be determined solely on the basis of relative ability, knowledge, and skills, after fair and open competition that assures that all receive equal opportunity.

(2) All employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights.

(3) Equal pay should be provided for work of equal value, with appropriate consideration of both national and local rates paid by employers in the private sector, and appropriate incentives and recognition should be provided for excellence in performance.

(4) All employees should maintain high standards of integrity, conduct, and concern for the public interest.

(5) The Federal work force should be used efficiently and effectively.

(6) Employees should be retained on the basis of the adequacy of their performance, inadequate performance should be corrected, and employees should be separated who cannot or will not improve their performance to meet required standards.

(7) Employees should be provided effective education and training in cases in which such education and training would result in better organizational and individual performance.

(8) Employees should be -

(a) Protected against arbitrary action, personal favoritism, or coercion for partisan political purposes, and

(b) Prohibited from using their official authority or influence for the purpose of interfering with or affecting the result of an election or a nomination for election.

(9) Employees should be protected against reprisal for the lawful disclosure of information that the employees reasonably believe

evidences -

(a) A violation of any law, rule, or regulation, or

(b) Mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety.

1-3. Prohibited Personnel Practices. The civil service laws forbid personnel actions based on the following prohibited personnel practices. Avoiding prohibited personnel practices will not guarantee that you will never have to defend a decision or action, but it will give you a firm basis from which to start.

(1) Don't discriminate on the basis of race, color, religion, sex, national origin, age, handicapping condition, marital status, or political affiliation.

(2) Don't solicit or consider any personnel recommendation or statement not based on personal knowledge or records of performance, ability, aptitude, general qualifications, character, loyalty, or suitability.

(3) Don't coerce an employee's political activity.

(4) Don't deceive or obstruct any person with respect to such person's right to compete for employment.

(5) Don't influence a person to withdraw from competition for the purpose of improving or injuring the prospects of another person for employment.

(6) Don't grant any preference or advantage not authorized by law, regulation, or rule to any [employee or applicant for the purpose of improving or injuring the prospects of another person for employment.

(7) Don't employ or advocate a relative.

(8) Don't retaliate against a whistleblower, whether an employee or an applicant.

(9) Don't retaliate against employees or applicants who exercise their appeal rights, testify, or cooperate with an Inspector General or the Special Counsel, or refuse to break the law.

(10) Don't discriminate based on actions not adversely affecting performance.

(11) Don't violate any law, rule, or regulation implementing or directly concerning the merit principles.

(12) Don't violate Veteran's Preference by taking or failing to take a personnel action. (National Defense Authorization Act for FY97)

## CHAPTER 2

### SUPERVISORY RESPONSIBILITIES

The primary responsibility rests with managers and supervisors to ensure the Army mission is accomplished effectively and efficiently. A large part of program management responsibility is the management of the personnel, who make it all happen. Management officials constantly make decisions that directly or indirectly impact civilian and/or military personnel. In order to accomplish their mission, supervisors and managers need to understand:

#### 2-1. Position Management and Classification.

- Know current position management and grade controlling policies
- Recognize your responsibility for assigning work
- Understand how jobs are classified and be able to explain to subordinates how their jobs have been graded
- Establish a job structure for the organization using positive position management techniques
- Understand and utilize Delegation Position Classification Authority appropriately

#### 2-2. Recruitment and Placement.

- Be able to utilize various recruitment sources and develop fill strategies
- Know about the various appointment authorities (e.g., Veteran's Readjustment Act, Student Educational Employment Programs, and Handicap Appointments)
- Understand the Priority Placement Program (i.e., priorities, military spouse preference, qualification disputes, etc.)
- Be able to effectively utilize pay flexibilities (e.g., recruitment, retention, and relocation bonuses and retention allowances; highest previous rate; special qualification appointments)
- Understand the Reduction-in-Force process (including Voluntary Early Retirement Authority (VERA) and Voluntary Separation Incentive Pay (VSIP)) and be able to explain the impact of the process to subordinates if and when their positions are abolished

#### 2-3. Training and Development.

- Be able to observe performance, work behaviors, and future mission requirements to determine employee development needs
- Be able to work with employees in preparation of individual development plans
- Be able to counsel employees on available training opportunities and recommend courses to enhance, develop, or improve skills and capabilities
- Know training/educational requirements for career program employees

#### 2-4. Automated Personnel Tools.

- Know how to access the Regional Database to retrieve information about assigned employees (within-grade increases and other due dates, pay, leave, appraisals, awards, training, experience history, etc.)
- Know how to check on the status of personnel actions.
- Be able to develop position descriptions; knowledge, skills, and abilities; and performance criteria using Core Document (COREDOC); be familiar with FASCLASS
- Know how to browse the Internet for sample classified position descriptions using Army's Civilian Personnel On-Line Position Description (PD) Library
- Find answers to questions on personnel management in PERMISS located on Army's Civilian Personnel On-Line-web site:  
<http://www.cpol.army.mil>

#### 2-5. Performance Appraisal.

- Develop and communicate individual and/or group goals and expectations to subordinates
- Link employee goals to organizational goals
- Provide employees with concrete illustrations of what has led to their performance evaluations
- Capitalize on strengths and build for the future
- Emphasize that individuals must accept responsibility for their performance
- Gain agreement to solve problems
- Provide useful feedback intended to help, not hurt

## 2-6. Management-Employee Communications.

- Strive to communicate clearly
- Be a good listener
- Recognize the value of two-way communications, feedback and team-building
- Conduct staff meetings, air differences, and resolve conflicts
- Share information on the day-to-day status of work in progress

## 2-7. Administration of Discipline.

- Know personnel authority for taking disciplinary actions, including formal and informal actions
- Know how to evaluate and identify employee-management problems and help prevent disciplinary actions
- Utilize Alternative Discipline Agreements (ADA), where appropriate, as a positive approach to discipline problems

## 2-8. Grievance Procedures.

- Understand the steps involved in the grievance and appeal process
- Be able to participate in a Merit Systems Protection Board Proceeding

## 2-9. Recognition of Employees.

- Be able to determine situations where recognition is appropriate
- Be familiar with the various forms of honorary and monetary awards

## 2-10. Hours of Duty, Pay, and Leave Administration.

- Know administrative leave procedures
- Encourage leave planning
- Monitor balances and usage
- Control abuse and document problems

## 2-11. Labor-Management Relations.

- Be able to administer the provisions of the locally negotiated labor contract

## 2-12. Safety.

- Know responsibilities for establishing and maintaining safe working conditions
- Be aware of the major safety hazards and causes of accidents
- Know how to report an accident

### 2-13. Career Management.

- Be familiar with key provisions of career programs
- Be able to provide counseling to employees in their career planning and personal development
- Know how to evaluate careerists for career appraisals

## CHAPTER 3

### POSITION MANAGEMENT

#### 3-1. References.

Department of Army Pamphlet 690-08, Guide to Position Management for Key Military and Civilian Personnel  
CECOM Policy, Civilian Position Management and Position Classification Policy  
#95-3

#### 3-2. Background.

- a. Position management is the process of assigning duties and responsibilities to positions and the structuring of those positions that will best serve mission needs by providing optimum balance between economy, efficiency, motivation, and employee development.
- b. Diminishing resources and rising personnel costs make it increasingly important that employee positions and work methods be consciously designed to use human resources economically. Sound position management assures a carefully assigned position structure that blends the skills and assignments of employees with successful mission accomplishment. Its goal is a logical balance between employees needed to carry out the major functions of the organization and those needed to provide adequate support; between professional employees and technicians; between fully trained employees and trainees; and between supervisors and subordinates.
- c. It is CECOM's policy to structure civilian positions in the most economical and efficient manner possible to effectively accomplish the

mission and make maximum use of employee skills.

### 3-3. Responsibilities.

a. Supervisory. The practice of good position management (i.e., job structuring/work assignment) is a line manager's responsibility. Supervisors and managers must ensure that current and proposed organizational structures promote efficient utilization of manpower resources; eliminate unnecessary organizational fragmentation or layering; provide for clear, accurate and specific delineation of responsibilities; and avoid unwarranted grade escalation.

In line with the Delegation of Position Classification Authority (PCA), position management as well as classification authority assumes greater importance to managers. Under PCA, accountability for mission accomplishment is aligned with accountability for personnel costs resulting from position and organizational structure decisions.

b. The Deputy Chief of Staff for Personnel provides assistance and guidance on all position management issues to include logical/effective structuring of work assignments and grade level implications of proposed changes.

### 3-4. Management Considerations.

a. Meeting the objectives outlined above is not a simple mechanical process. There are a variety of management and personnel considerations that must be taken into account. The challenge is to design jobs and create work environments that will minimize employee dissatisfaction and provide for mission accomplishment. Managers must maintain balance among the various considerations involved in establishing the most appropriate position and grade structure.

b. There are no hard and fast rules by which managers can assure an effective and economical position structure. There are, however, a number of guidelines and options which managers should consider when devising their position structure. Following the general policies listed below will help to achieve a balanced and productive workload for all positions and stress economy in work operations:

(1) Design positions so that they can be filled expeditiously.

(2) Ensure that positions are as free as possible of combinations of different occupations and grades.

(3) Avoid excessive numbers and levels of supervisory positions.

(4) Balance the proportion of professional, administrative, technical, and clerical positions.

(5) Provide opportunities for career development and progression.

(6) Avoid overlays of duties and duplication of effort.

### 3-5 Supervisory Structure.

a. Excessive numbers of supervisory jobs are expensive in terms of increased overhead and labor costs. Additional layers of supervision impede work processes and communications; and make it difficult to delegate authority and establish accountability. The goal of position management is to establish an economical and effective supervisory structure. As such the following should be considered:

(1) Avoid overlap in functions between organizations. Assure there is a distinct difference in purpose or function. Combine organizations when functions are closely related and avoid unnecessary organizational splintering or fragmentation.

(2) Avoid unnecessary organizational levels and excessive supervisory or other review levels. These can increase cost, cause worker dissatisfaction (and turnover) and/or slow or distort communications.

(3) Avoid realignment or reorganizations intended in part to support higher grades.

(4) Evaluate appropriateness of supervisory ratios and eliminate unnecessary supervisory positions. A span of control of no less than 14 subordinates should be used as a guide for full-time first line supervisors. Supervisory ratios are calculated by dividing the total number of non-supervisory employees by the total number of supervisory. Include appropriated funded civilians, exclude military and non-appropriated funded civilians.

(5) Consider the use of team leaders rather than first line supervisors to guide and control the work of the team.

3-6. Nonsupervisory Positions. The objective in establishing nonsupervisory jobs is to assure the positions are consistent with the grade level of assigned functions and work load. Avoid "job dilution" situations in which positions include high-grade duties for a limited percentage of time. Such situations are overly costly as the positions are typically classified to the higher graded level. Higher graded duties should be concentrated in as few positions as required by actual work operations.

3-7. Vacancy Control. An ideal time to review positions is when a vacancy occurs. Before a Request for Personnel Action (RPA) is submitted for recruitment, the need for continuing the position should be

reviewed. If the position is no longer needed, eliminate it. If the position is needed, it should be reviewed to see if it could be utilized differently. A different design should be considered if:

a. It is one of several jobs performing work at the full performance level and this work could be performed by other positions, particularly if they are relieved of lower level duties.

b. It is a job performing work above the full performance level and another similar position or the supervisor's position could absorb this work.

c. It is performing supervisory duties and another supervisory position could absorb these duties.

d. Additional duties could be added, thus supporting full employee productivity.

3-8. Impact on Position Classification. Changes in position classification are most frequently based on position management decisions made in response to changes in mission, organization resources, priorities, and technology of the work performed. Effective position management depends upon sound position classification decisions (determination of title, occupational series, and grade). Those decisions can be more properly reached when managers:

a. Ensure that assigned duties and responsibilities are not overstated and are consistent with authorized functions.

b. Recognize high performance achievements of incumbents through performance awards and not through requests for higher grade level.

c. Request reclassification upgrades of encumbered positions only after new responsibilities have been firmly established and performed, and alternative actions have been explored. Up-grades should neither take place prematurely, nor be so delayed that a misassignment or improper classification exists.

## CHAPTER 4

### CLASSIFICATION

#### 4-1. References.

5 CFR 511, Classification under the General Schedule

DoD Directive 1400.25-M, Civilian Personnel Manual, Subchapter 511, (Classification Program)

Army Regulation 690-500, Chapter 511, Position Classification, Pay and Allowances

## Department of Army Pamphlet 690-14, Position Management and Classification

### 4-2. Background.

a. Title 5, United States Code, governs the classification of positions in the Federal service. This law states that positions shall be classified based on the duties and responsibilities assigned and the qualifications required for the work. Section 5104 of Title 5 provides definitions for the grade levels of the General Schedule. These grade level definitions are the foundation upon which the position classifications are built.

b. The law requires the Office of Personnel Management (OPM) to define Federal occupations, establish official position titles, and describe the grades of various levels of work. To fulfill this responsibility, OPM approves and issues position classification standards that must be used by agencies to determine the title, series, and grades of positions. The classification standards are the legal basis for determining the series and grade, and consequently the pay of Federal employees. The classification system is based on the principles that there should be equal pay for equal work and variations in pay should be proportional to substantial differences in the difficulty, responsibility and qualifications required.

### 4-3. Responsibilities.

a. Supervisors who direct the work of an organizational unit are responsible and accountable for organizing work in an efficient, effective manner, and for optimizing resources to carry out the missions of their organizations. Supervisors must:

(1) Ensure that employees have copies of their position descriptions (PDs), and shall objectively, expeditiously, and fairly consider employee concerns over the accuracy of their PDs, the classification of their positions, and formal classification appeals.

(2) Exercise Delegation of Position Classification Authority consistent with published classification standards, according to the principle of equal pay for work of equal value. Within CECOM, the CEAC principals have this responsibility.

(3) Ensure assignment accuracy. At a minimum, at the time performance appraisals are signed, supervisors and managers should review the position description and confirm its accuracy or revise and submit PDs to the Northeast Civilian Personnel Operations Center (NE CPOC) for implementation. At all times managers are accountable for ensuring that permanently assigned duties are correctly described in positions under their supervision.

(4) Explain classification decisions to employees.

b. The Civilian Personnel Advisory Center (CPAC) will advise and assist supervisors regarding the general procedures and requirements of position management and classification program objectives. The CPAC will:

(1) Provide position classification training for supervisors, including instruction on how to use PD Library, COREDOC, and other modernization tools.

(2) Inform employees about proper procedures for filing classification appeals.

(3) Assist employees, when requested, in preparing the proper classification appeal package.

(4) Assist management in maintaining official delegation files and provide advice on procedural requirements for any changes or withdrawal of position classification authority.

c. The NE CPOC will provide assistance to managers and supervisors on interpreting and applying position classification standards and job grading standards and classify positions when supervisors elect not to exercise their classification authority.

#### 4-4. Delegation of Position Classification Authority (DCA)

a. The Assistant Secretary of the Army (Manpower and Reserve Affairs) policy for Delegation of Position Classification Authority (DCA) permits delegation of classification authority through the management chain to managers and supervisors Army-wide. Major command (MACOM) commanders and field operating agency (FOA) directors may redelegate classification authority to their managers and supervisors who may, in turn, redelegate authority through their subordinate supervisory chain without the requirement for concurrent budget authority. This includes authority to determine and certify the title, pay plan, series and grade of civilian positions in accordance with controlling position classification standards, regulations and statutory requirements.

b. The purpose of delegation of classification authority is to enhance the personnel management authority of supervisors by providing maximum control over the positions in their organizations.

c. Commanders/directors must delegate classification authority in writing. Delegation letters must identify each supervisor by title and specify the classification, statutory and regulatory responsibilities. Supervisors must be trained and oriented in all position classification

legal and regulatory responsibilities prior to delegation of authority.

#### 4-5. Series Determination.

- a. The General Schedule classification system consists of twenty-two broad occupational groups. Each group includes separate series that represent occupations in that group. Selecting the proper series for a position places it with other positions assigned similar work and requiring similar qualifications.
- b. For a variety of reasons, selection of the correct series for a position is an essential part of the entire personnel management process. For example, qualification requirements used in recruiting are based on the series of the position; career ladders are influenced by the series; organizational structures are often designed with consideration of the series of assigned positions.
- c. General Schedule series can be divided into five "categories" of work. These include professional (e.g., attorney, engineer, medical officer); administrative (e.g., personnel management specialist, budget analyst, general supply specialist); technical (e.g., accounting technician; electronics technician); clerical (e.g., secretary, mail clerk); and other (e.g., firefighter, various law enforcement occupations).
- d. Selecting the correct series depends heavily on your knowledge of both the standards and the position concerned. While the principal duties, responsibilities, and qualification requirements of the position should be closely related to the work covered by an occupational series, they do not have to be perfectly matched. It is helpful to refer to the OPM Position Qualification Standard for the occupation as well as for the related occupations and to the Handbook of Occupation Groups and Series when deciding the best series to use. The Handbook and the position classification standards are available in the Army CPOL Library at

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

4-6. Grade Intervals. Series within the above categories of work are either two grade interval or one grade interval. This designation refers to the typical grade level pattern for a particular occupation. Two grade interval series progress by two grade increments from GS-5 to GS-11 and include professional and administrative occupations. (From GS-11 through GS-15, these series follow a one-grade interval pattern.) One grade interval series include clerical and technical occupations and progress from GS-1 by single grade increments. Series that fall in the "other" category can be either one or two grade interval depending on the kind of work.

#### 4-7. Position Classification Standards.

a. There are different kinds of classification or job grading standards. The most common are individual standards for a particular line of work or occupation (e.g., Secretary, GS-318). Other standards, called "family standards" are developed for broad occupational groupings. For example, the Grade-Evaluation Guide for Supply Positions contains grading criteria for all nonsupervisory operating and staff work in the administrative supply occupations at grades GS-9 and above. Typical positions covered by this one guide include General Supply, GS-2001; Supply Management, GS-2003; Inventory Management, GS-2010; Packaging, GS-2032; and Cataloging, GS-2050.

b. The standards are issued in two different formats:

(1) The Factor Evaluation System (FES). Under FES, grades are assigned to non-supervisory GS positions based on a comparison of a position's duties, and responsibilities to nine evaluation factors. These are knowledge required; supervisory controls; guidelines; complexity; scope and effect; personal contacts; purpose of contacts, physical demands, and work environment.

The General Schedule Supervisory Guide (GSSG) provides evaluation criteria for determining the GS grade level of supervisory positions. The GSSG employs a factor-point evaluation method that assesses program scope and effect; organizational setting; supervisory and managerial authority exercised; personal contacts; difficulty of typical work directed and other conditions, general classification concepts, principles and policies.

Position grades are determined by the sum of point values assigned to the factors as they appear in a specific job.

(2) The Narrative Format. The narrative format consists of the grade-level concepts (taken from Title 5, U.S. Code), along with narrative descriptions of these grade-level concepts stated in terms of the nature of the position's assignment; level of responsibility; and certain subfactors (such as originality required, supervision received, scope of assignments, etc.), as well as illustrations of actual work situations at various grade levels. Positions are then classified by matching the duties and responsibilities with the most appropriate grade-level criteria in the standard.

c. Job grading standards are available in the Army CPOL Library at the Internet site:

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

4-8. Position Description.

a. A position description, commonly called a "PD", documents the major duties, responsibilities, and organizational relationships of a job. Because it serves as the official record of the classification of the job and is used to make many other personnel decisions, it should be written in clear, concise, and easy to understand language. As a rule, the supervisor drafts the PD and then sends it through the CPAC to the CPOC for further action.

b. It is vitally important that position descriptions be accurate. Many very critical personnel processes follow the position description (e.g., pay, recruitment, performance evaluation, training need assessment, etc.). Inaccurate position descriptions could also result in reflecting required skills and knowledges incorrectly which could lead to bad placement decisions in a Reduction in Force. The Department of Army requires that descriptions be reviewed at least annually, usually in conjunction with employee performance evaluations. If major changes to the description are required, the supervisor must take steps in a timely manner to redescribe the job or must revise the duty assignment to match the position description. Minor pen and ink changes that do not impact the classification may be readily made by supervisors and forwarded to the CPOC as the need arises. If mission needs change and these impact on the assignment of duties to positions, supervisors are urged to contact their servicing personnel management specialist to discuss the impact of such changes.

#### 4-9. Fully Automated System for Classification (FASCLASS).

FASCLASS is an Army effort to provide an accessible, standardized source of classification information for managers and employees. Ft. Monmouth managers have access to all active, classified and established position descriptions from all organizations serviced by the NE CPOC and their organizational structures through FASCLASS. Before establishing a new position description, you are encouraged to search FASCLASS for an already established position that adequately describes the duties of your new position.

#### 4-10. Misassignments.

a. A misassignment occurs when an employee performs major duties for longer than 30 days that are not in his or her PD. It also occurs when the employee does not perform the major duties in the Position Description and/or when these major duties are understated or exaggerated. A misassignment should be avoided and once discovered, be corrected.

b. When major duty inaccuracies are found, the supervisor must determine what kind of personnel action is appropriate to correct the

problem. Each case should be discussed with your servicing personnel management specialist to determine whether temporary promotions, details, temporary reassignments or an appropriate permanent action should be initiated.

#### 4-11. Position Audits.

a. A formal position audit, commonly known as a desk audit, with an employee or his or her supervisor is one tool used by classification specialists to gather first-hand information about a particular position. It is an interview designed to highlight the key or major aspects of a position. Findings are then compared to the current OPM position classification standard(s) and other organizational materials to ensure that the position description accurately describes the major duties and is properly classified.

b. An audit may be conducted by a personnel management specialist either in person or by telephone and is normally conducted when significant changes are being proposed or have occurred in a position, such as mission changes; downsizing; reorganizations; technological advances; additional duties, elimination of obsolete programs, practices and requirements, etc.; or when it is determined that additional information is needed to classify the position. These and other changes may have an impact on the classification of the position in terms of its title, pay plan, series, and grade.

c. The following questions are typically asked during a position audit:

- What do you do?
- How do you do it?
- Why do you do it?
- What skills/abilities/knowledges are required to carry a task out?
- How much time do you take? How often do you do this?
- Who supervises you? How is that supervision exercised?
- What decisions do you make? What error controls exist?
- What is the most complex part of your job?
- Whom do you contact in the course of your work? For what purposes?

#### 4-12. Classification Appeals.

a. An employee may at any time formally appeal the classification of the position to which assigned. The classification refers to the title, pay plan,

series, and/or grade assigned to the position. An employee cannot appeal assigned duties and responsibilities, details, standards or guides used to classify the position, proposed decisions or actions, previous appeal decisions, and the classification of another employee's job.

b. Supervisors are responsible for attempting to resolve the employee's dissatisfaction with classification matters informally, if possible. If the informal process is not successful and the employee formalizes the appeal, the supervisor must pass the written appeal to the next level of supervision or to the CPAC in a timely manner.

c. General Schedule employees have the option of appealing within Department of Defense (DoD) or appealing directly to the Office of Personnel Management (OPM). If the employee appeals through the DoD, the employee submits a written appeal through his or her chain of command to the CPAC. Appeals will then be forwarded to the NE CPOC for addition of material needed to adjudicate the appeal (copy of PD, evaluation statement, organizational information, etc.). Packages are then sent to the office at DoD where they are decided.

d. A classification appeal may be sent directly to OPM or it may be sent to OPM after the DoD appeal decision has been rendered. Decisions made by OPM are final and cannot be appealed elsewhere.

d. Appellants and their designated representatives may reasonably draw upon the CPAC and CPOC for assistance of a regulatory and procedural nature and they may examine such classification standards and records as are pertinent to their cases.

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## CHAPTER 5

### REQUESTS FOR PERSONNEL ACTIONS

#### 5-1. Request for Personnel Action (RPA).

a. The RPA is the automated Request for Personnel Action standard form that enables supervisors and managers to request employee and position actions and allows the Personnel Office to record staffing and classification actions. Through the RPA, personnelists, managers, manpower, and financial representatives manage personnel actions electronically, coordinate to the appropriate officials, and provide reports. The primary objective of the system is to eliminate all unnecessary steps in preparing and processing personnel action requests.

b. Directors, office chiefs, commanders of CECOM activities/resident activities, and project/program managers have established internal procedures for submission of RPAs that ensure requested actions are within the current budget, authorized strength, and Table of Distribution of Allowance (TDA) prior to release to the CPAC.

5-2. Creating RPAs. Detailed instructions for creating, authorizing, and coordinating RPAs may be found in the Modern Defense Civilian Personnel Data System (MDCPDS) Desk Guide. The electronic version of the guide may be found using NE Regional Internet Tools at the following web site:

<https://neregion.apg.army.mil/manager/start.asp>

5-3. Unusual Actions. Additional information and assistance concerning the preparation of an RPA for unusual types of actions may be obtained by contacting your servicing personnel management specialist.

5-4. Notification of Personnel Action (NPA). Many users will want to print Notification of Personnel Actions (NPAs) once the RPA has been processed and the effective date of the action has passed. Individual NPAs can be printed from the MDCPDS civilian inbox if the action has passed through that inbox. The civilian inbox is a system folder that displays notifications that were initiated by the user or routed to the user. Detailed instructions for printing NPAs may be found in the MDCPDS Desk Guide.

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## CHAPTER 6

### INITIATING RECRUITMENT AND STAFFING REQUESTS

#### 6-1. REFERENCES.

U.S. Code: Title 5, Chapters 33 & 35

Code of Federal Regulations 300, Employment (General)

Army Regulation 690-300, Employment - Civilian Personnel

Army Regulation 690-330, Recruitment Selection and Placement (General)

Army Regulation 690-332, Recruitment and Selection through Competitive

Examination

Army Regulation 690-335, Promotion and Internal Placement

Army Regulation 690-950, Career Management

CECOM Regulation 690-335 dated 7 Oct 94, Merit Promotion and Internal

## Placement Program

6-2. Supervisory Responsibility. An important supervisory responsibility is ensuring that assigned personnel resources are fully utilized. In every work group there is turnover. The ability to anticipate and plan for this turnover is necessary to allow the work to continue with minimum disruption. Supervisors should be aware of any changes in order to initiate a recruit action in sufficient time to allow the office of the Deputy Chief of Staff for Personnel (DCSPER) and Northeast Civilian Personnel Operations Center (NE CPOC) to locate replacement candidates. Recruitment can be initiated in advance of the actual departure of a current employee and it is possible to have a replacement on board immediately after the departure or even before (if an overlap is necessary and justified). In any case, time is of the essence. Your servicing personnel management specialist will advise and assist you with this process.

### 6-3. Vacancy Review.

a. Once a decision is made to recruit, a number of considerations must be addressed. First, is the position really necessary? If not, it should be reallocated to another work unit or abolished. Secondly, is the present job description (title, series, and grade) appropriate to the needs of the mission?

b. Changing a vacant position is much easier than changing a filled position. Consider such questions as "Should the position be restructured to a lower or entry grade level in order to facilitate filling it?" or "Does the position need to be filled on a full-time basis?" Restructuring positions has a number of advantages. For example, it may save employee salary and benefit costs; open up promotional opportunities for employees who would not otherwise qualify; serve to increase representation of women, minorities, and people with disabilities for occupations where underrepresentation exists; provide you with employees you can train and develop to meet your tailored goals and objectives; and increase employee morale.

### 6-4. Recruitment Sources.

a. After you have decided on the type of vacancy to be filled, a Civilian Personnel Advisory Center representative will assist you in deciding the recruitment source(s) that will provide quality candidates. There are a number of recruiting sources including current Department of the Army employees (internal sources); reinstatement candidates, Office of Personnel Management and special recruitment candidates (external sources); candidates entitled to priority consideration; and non-competitive appointments (e.g., Veteran's Readjustment Act, handicap,

Student Educational Employment Program appointments, etc.).

b. Sometimes you will not have an option, and must select a priority candidate or individual who has entitlement to a vacancy. Among the programs requiring mandatory placement are the DoD Priority Placement Program (PPP) (including the Military Spouse Program); the Reemployment Priority List (RPL) program; the Repromotion Priority List; and the Interagency Career Transition Assistance Program (ICTAP). In all cases, the employee must be well qualified for the position prior to placement.

c. There are other circumstances in which an employee may receive priority consideration for a vacancy. A finding that an employee or candidate did not receive fair consideration for a job due to discrimination; or a finding that a candidate failed to receive proper consideration for a job due to administrative errors or errors in the rating process will be entitled to priority consideration.

d. In addition, a manager may have a position in his or her organization that is "obligated". This means that there is an employee who has statutory restoration rights to the position based upon active military service, compensable injury, or completion of an overseas tour.

6-5. Recruitment Flexibilities. Recruitment flexibilities are incentives that you may use in conjunction with the existing pay systems to enhance the regular pay package. As a Government employer, you may use these incentives when you are having difficulty hiring qualified workers. Several recruitment flexibilities are available, including Recruitment Bonuses, Superior Qualification Appointments, travel and transportation expenses, reemployment of retirees without impact on their annuity, advances in pay, and special salary rates.

#### 6-6. Job Analysis.

a. Supervisors are responsible for identifying major position requirements and linking them to the skills, education, training, etc, needed to successfully perform the duties of that position.

b. RESUMIX is the trade name of the automated referral system used throughout the Department of Defense. If your position is to be filled using RESUMIX, you will need to develop the Job Search Criteria. This involves identifying the required skills and desirable skills. A required skill is one that applicants must possess in order to be referred for the position. These are skills that are considered critical to performance of duties and are such that they could not be learned readily during the normal orientation period. Desirable skills are skills that would make the applicant better able to perform the job. You will identify up to three

required skills and any number of desired skills. These skills will be used to screen applicants.

c. If your position is to be filled using a Merit Promotion Announcement, you will need to identify the knowledge, skills, and abilities (KSAs) required to accomplish each major job requirement and develop a crediting plan to be used in identifying the best-qualified candidates for the position.

#### 6-7. Career Program Positions.

a. The method of recruitment for a career program (CP) position depends on the career program and the position's grade level. The Army Consolidated Civilian Career Evaluation System (ACCES) is the Army's central referral process. ACCES identifies candidates for referral to vacancies at specified mandatory grade levels, while positions at grades below the mandatory referral level are usually filled through the Federal Career Intern Program, Outstanding Scholar Program, Resumix, or other local merit promotion procedures. For example, CP 13, Supply Management, allows activities to fill vacancies for grades 5 through 12 through the Federal Career Intern Program or local merit promotion procedures, while recruitment actions for grades 13 through 15 are normally filled through the central referral program. The DA Functional Chief Representative may authorize concurrent use of ACCES and merit promotion announcements to recruit for mandatory ACCES referral level positions if an activity continuously experiences problems recruiting only through ACCES. The merit promotion announcements must recruit DA-wide.

Specific information regarding procedures for registering in the central referral program can be found in Department of Army Pamphlet 690-950, Career Program Registration and Administration. A career program employee (excluding interns) should submit appropriate CP registration forms as identified in individual CP instructions. Employees registering or updating must self-certify that they are qualified. They must also meet time-in-grade restrictions, performance appraisal requirements, and any special education and training requirements for the positions for which they are applying. Additionally, they will certify that they have reviewed the appropriate regulatory guidance. Employees must have a minimum of 9 months time-in-grade when they sign their registration forms requesting referral for promotion. Employees must maintain a fully successful (or equivalent) performance rating to receive consideration for promotion.

b. The Career Intern Program allows exceptional individuals with a variety of experience, academic disciplines, or competencies to be recruited and placed, usually at grades GS-5 or GS-7, in trainee

positions. The program encourages mobility and offers employees a variety of assignments that can result in the broad background necessary for management or executive level positions. The candidate receives continuing career development until graduation, at which time he or she is placed on mission roles in a journey level GS-9 or GS-11 position, according to the career program intern target grade and availability of placement positions. The training program lasts for a maximum of three years.

Centrally funded HQDA Intern positions (i.e., funded by HQDA – not the local organization) are selected through central referral. Requirements for centrally funded interns are identified by the installation to the MACOM on a yearly basis. The requests are based on documented needs, training capability, future staffing needs, and the ability to place graduate interns into permanent positions

Local interns positions are filled locally at the discretion of the Commander. Local interns are funded through the installation and are on installation roles throughout the program.

Fully-qualified applicants would not be considered for formal trainee positions and should be appointed through referral sources that would allow placement at higher grades.

6-8 Procedures. a. A Request for Personnel Action to recruit should be completed and a Gatekeeper Checklist filled out for all recruit actions. The checklist includes such information as the Acquisition Workforce data, Financial Disclosure Requirement, Authorization for Permanent Change of Station (PCS)/Department of Army Relocation Services for Employees (DARSE) expenses, drug testing requirement, Personnel Reliability Program Requirements, Child Care Position Requirement or any special licensing, certification or physical requirements.

b. Once your personnel management specialist has reviewed the recruitment action, the NE CPOC will develop and distribute a vacancy announcement. They will receive applications and resumes from interested applicants and review them for qualifications, time-in-grade restrictions, etc., prior to generating a referral list or certificate. The referral certificate with resumes/applications will be sent to the Civilian Personnel Advisory Center, who will arrange for a rating panel, if required, or forward the list to the selecting official.

6-9. Interview. Selecting employees is a critical function of a supervisor. Your servicing personnel management specialist will let you know if you are required to interview any, all or none of the candidates. Although an interview may not be an absolute requirement for selection, a proper interview may be the most important aspect of the selection process.

Interviews may be conducted over the phone, by Video Teleconference (VTC), or in face-to-face meetings. Some questions are sensitive and should not be part of the interview. There is no legal question you can ask regarding an applicant's age; citizenship; national origin; race/color; sex; marital status/family; military discharge; economic status; or personal plans. For additional information about interviewing, refer to PERMISS at

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

6-10. Selection. It is now up to the selecting official to evaluate the candidates and select the person who best fits the job. During an interview, if one is required, the candidates may be asked questions regarding their competence, qualifications and experience. After evaluating the candidates, the supervisor makes the selection and returns the referral list or certificate to the Civilian Personnel Advisory Center, providing legitimate nondiscriminatory reasons for the selection. The reasons must be based on merit factors and describe how the selectee met these factors. Supervisors should never inform the selectee or any other applicant of the name of the successful candidate.

6-11. Notification. Your servicing personnel management specialist reviews all selections to ensure all requirements are met and that only merit reasons were used. The personnel management specialist will offer the position to the selectee. Once he or she has accepted the position, and an entrance-on-duty date has been agreed upon, managers will send a notice of non-selection to the other candidates.

6-12. The Hiring Process. The attached charts depict the hiring process in simple terms, explaining both internal and external sources. These charts are a quick reference which can be used to track your progress in filling positions. Contact your servicing personnel management specialist with any questions you may have regarding the process.

# THE HIRING PROCESS

- SEVERAL RECRUITING SOURCES EXIST TO FILL VACANCIES
  - INTERNAL RECRUITMENT SOURCES
  - EXTERNAL RECRUITMENT SOURCES
  - CANDIDATES ENTITLED TO PRIORITY CONSIDERATION
- DIFFERENT TYPES OF SERVICE/ APPOINTMENTS IN FEDERAL SERVICE
  - COMPETITIVE/EXCEPTED SERVICE
  - PERMANENT/TERM/TEMPORARY APPOINTMENTS
- RECRUITING METHOD/SOURCE DIFFER BASED ON TYPE OF POSITION BEING FILLED

External Process driven by Gov't-wide rules.  
Internal Process a combination of DA Regs, Gov't-wide rules and Union Agreements

Chart #1 of 20

# THE HIRING PROCESS

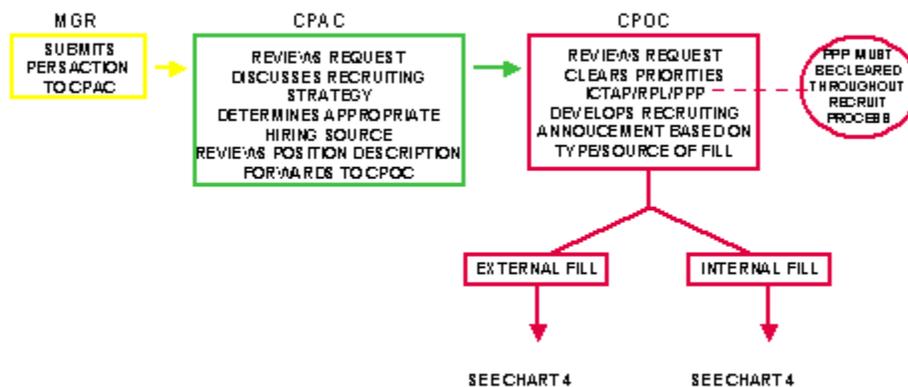


Chart #2 of 20

# THE HIRING PROCESS

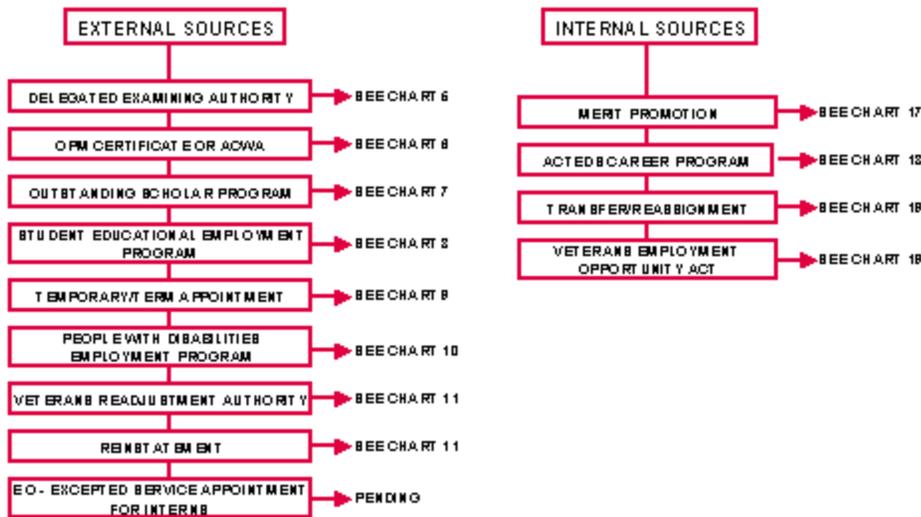


Chart #3 of 20

# EXTERNAL HIRING PROCESS

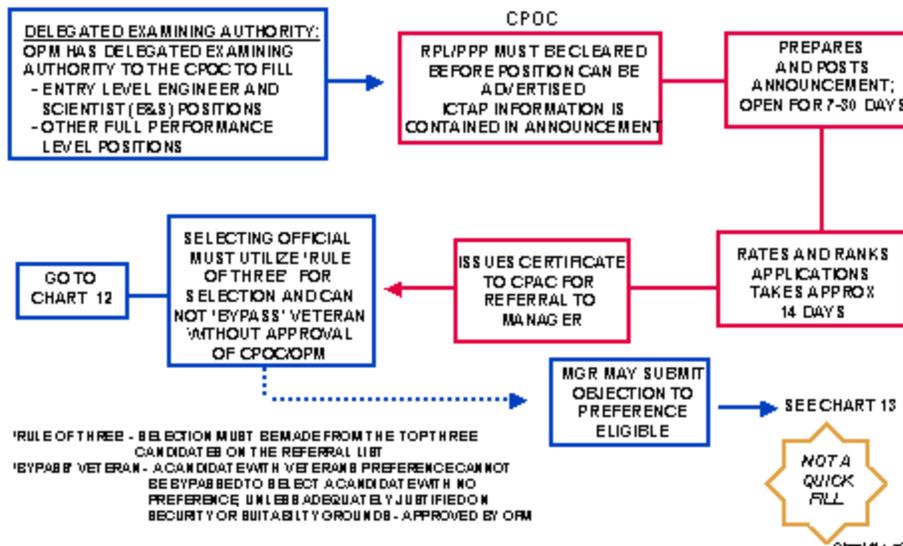
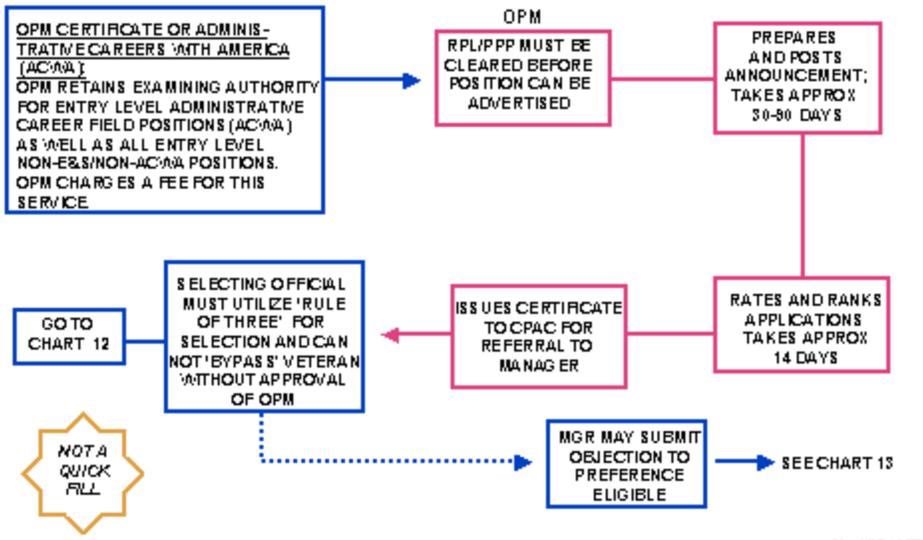
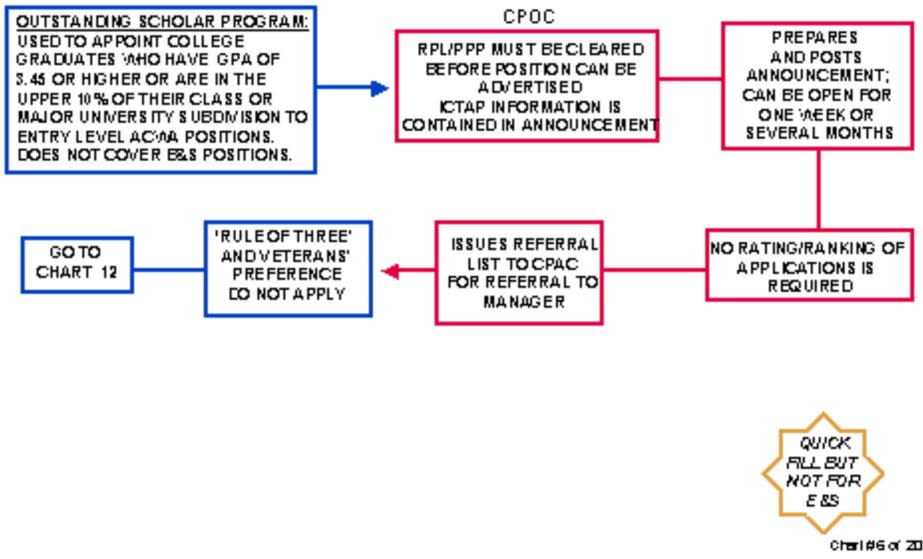


Chart #4 of 20

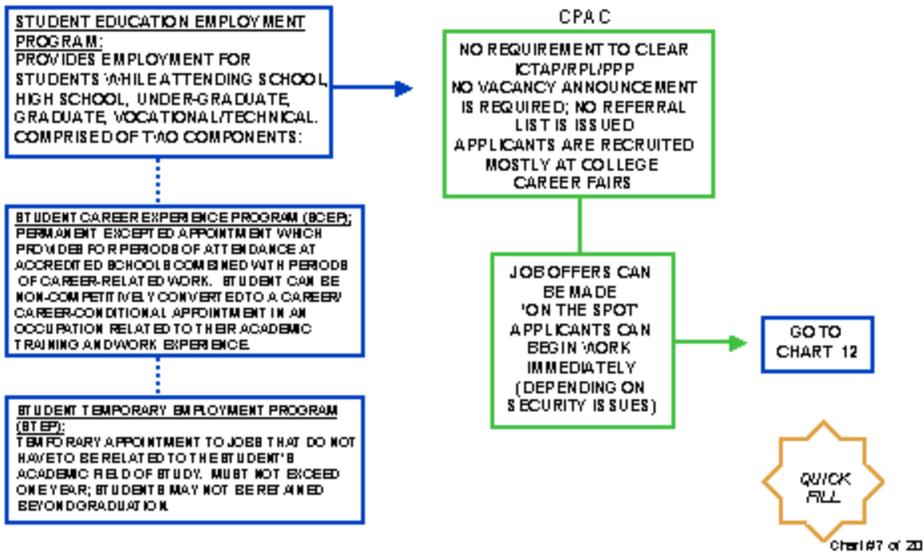
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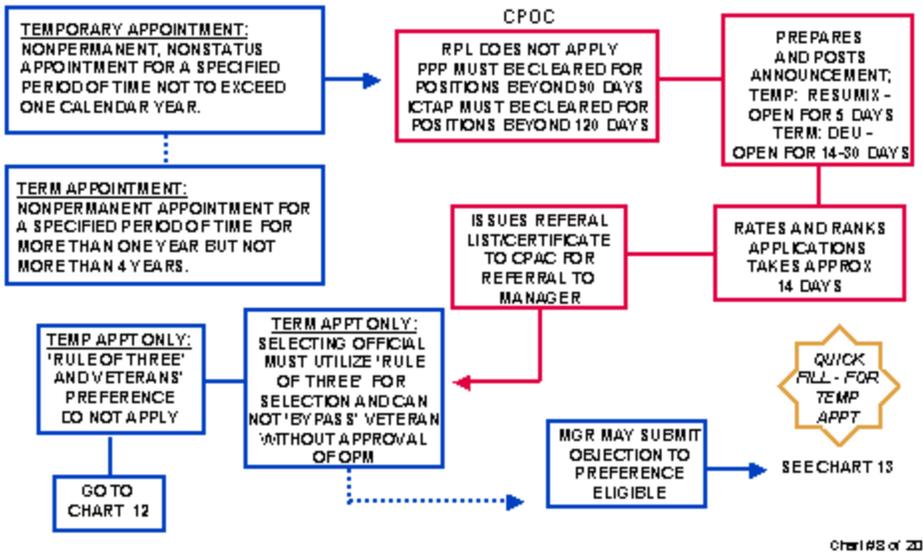
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# EXTERNAL HIRING PROCESS



# EXTERNAL HIRING PROCESS



# EXTERNAL HIRING PROCESS

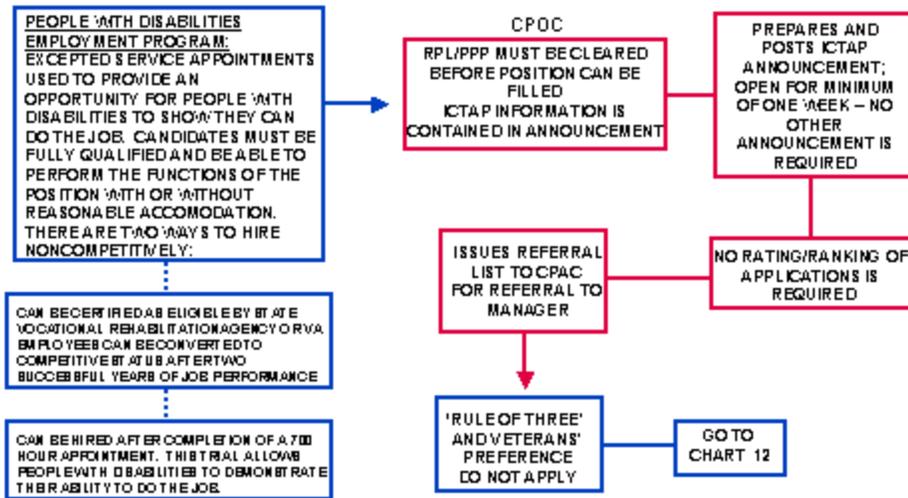


Chart # 9 of 20

# EXTERNAL HIRING PROCESS

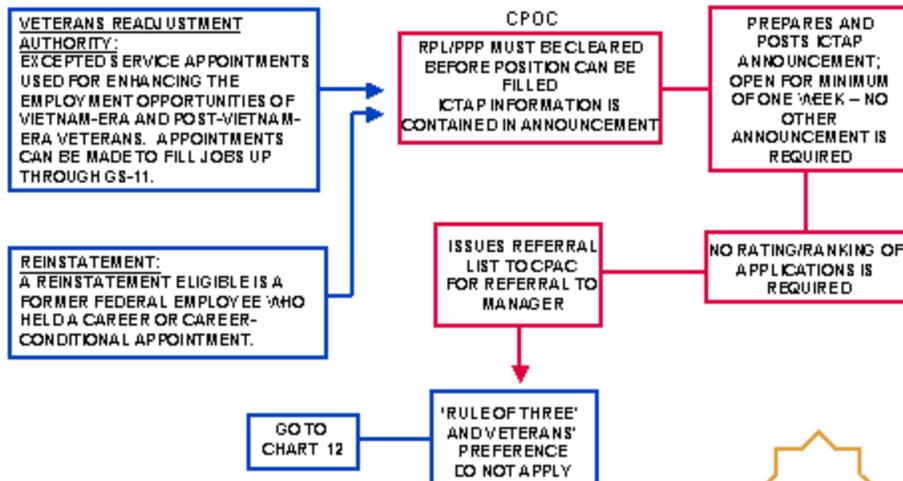


Chart # 10 of 20

# EXTERNAL HIRING PROCESS

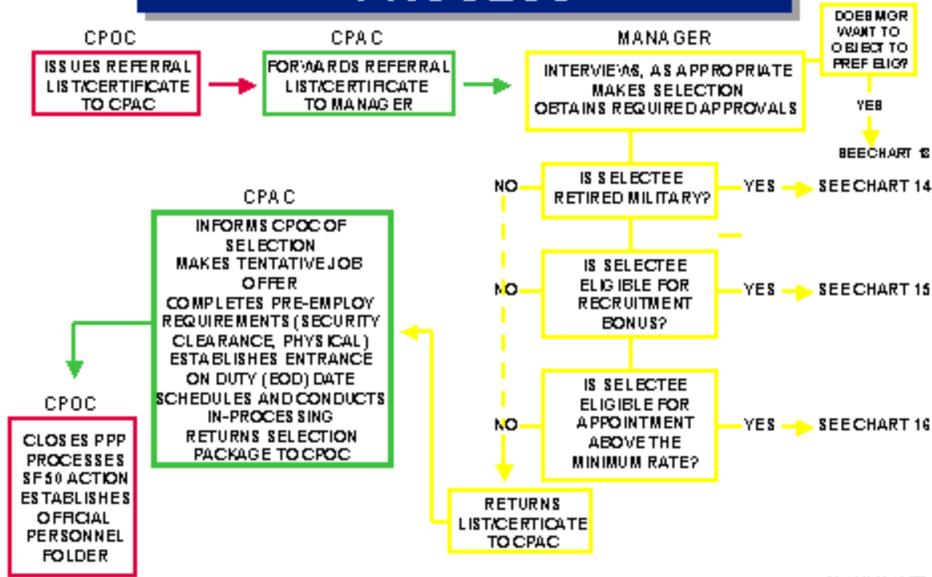
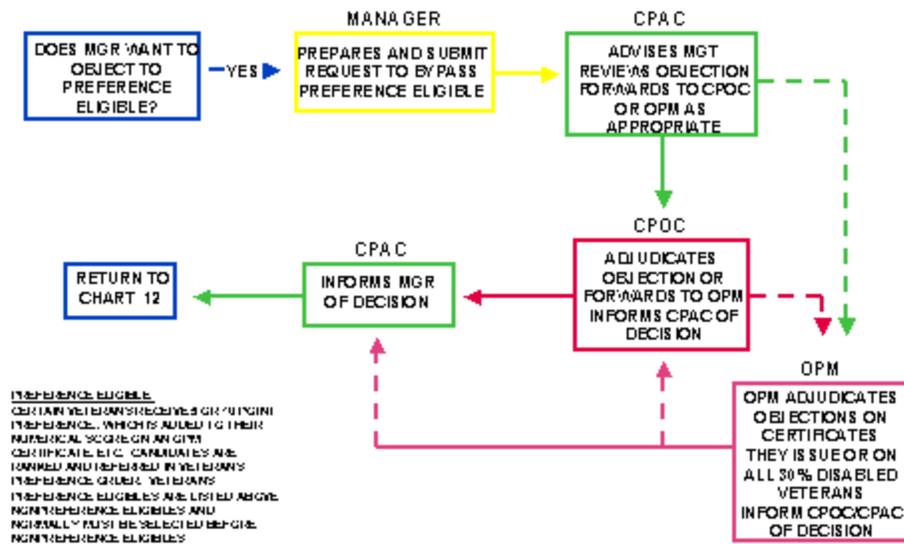


Chart # 11 of 23

# EXTERNAL HIRING PROCESS



**PREFERENCE ELIGIBLE**  
 CERTAIN VETERANS RECEIVE GUARANTEED PREFERENCE, WHICH IS ADDED TO THEIR NUMERICAL SCORE ON AN OPEN CERTIFICATE, ETC. CANDIDATES ARE RANKED AND REFERRED IN VETERAN'S PREFERENCE ORDER. VETERAN'S PREFERENCE ELIGIBLES ARE LISTED ABOVE NONPREFERENCE ELIGIBLES AND NORMALLY MUST BE SELECTED BEFORE NONPREFERENCE ELIGIBLES.

Chart # 12 of 23

# EXTERNAL HIRING PROCESS

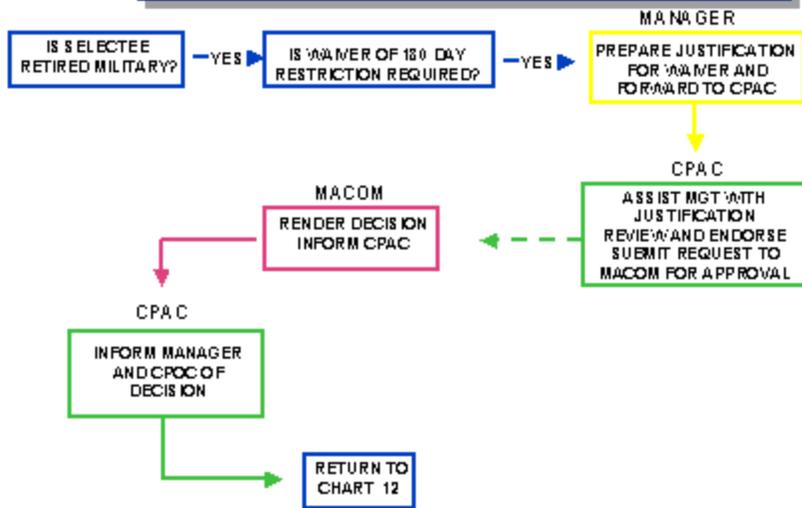


Chart # 13 of 23

# EXTERNAL HIRING PROCESS

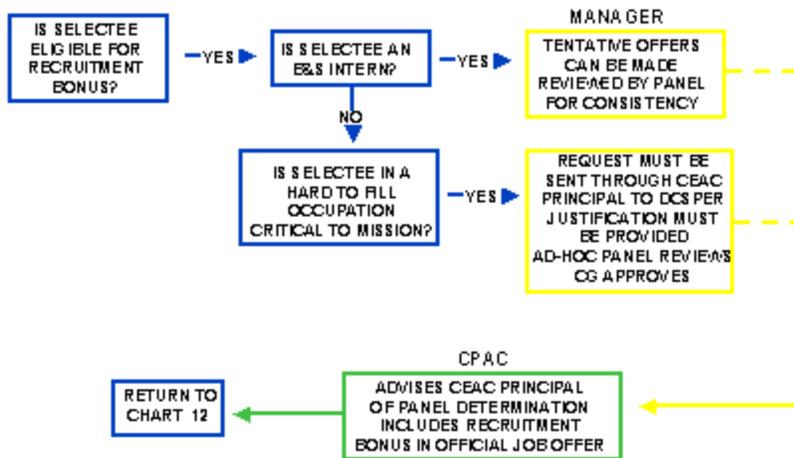


Chart # 14 of 23

# EXTERNAL HIRING PROCESS

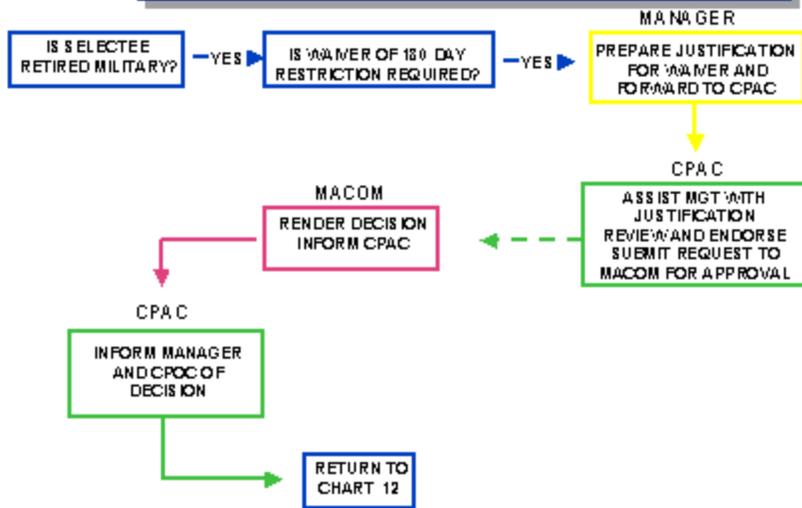


Chart # 15 of 23

# EXTERNAL HIRING PROCESS

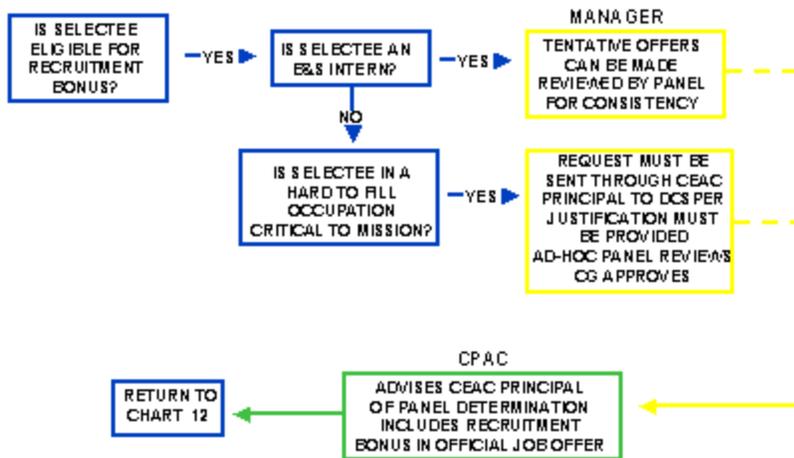


Chart # 16 of 23

# EXTERNAL HIRING PROCESS

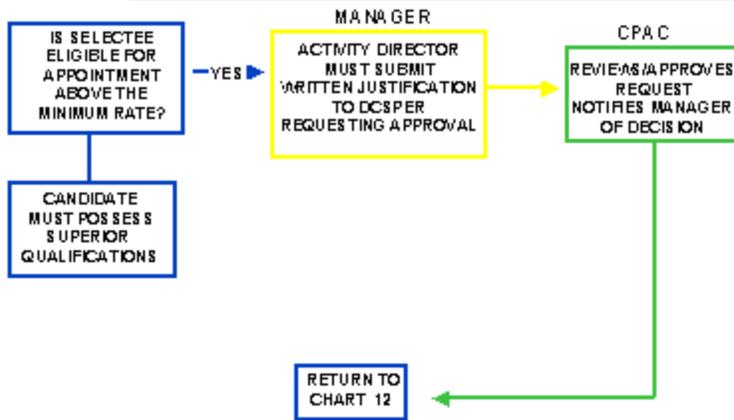


Chart # 17 of 20

# INTERNAL HIRING PROCESS

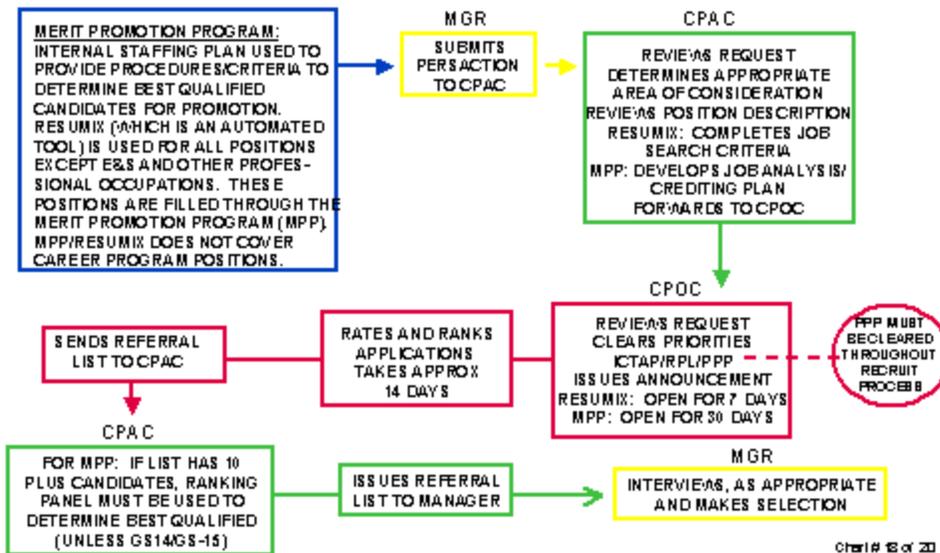


Chart # 18 of 20

# INTERNAL HIRING PROCESS

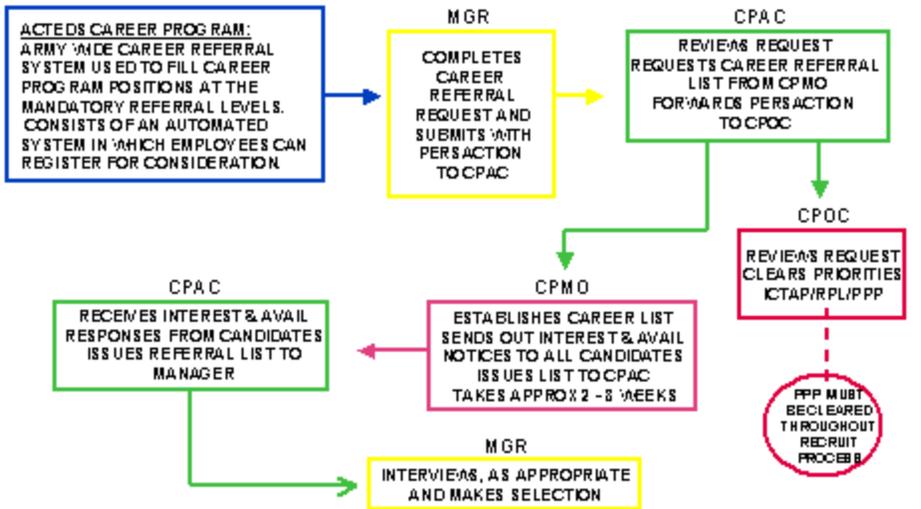


Chart # 16 of 20

# INTERNAL HIRING PROCESS

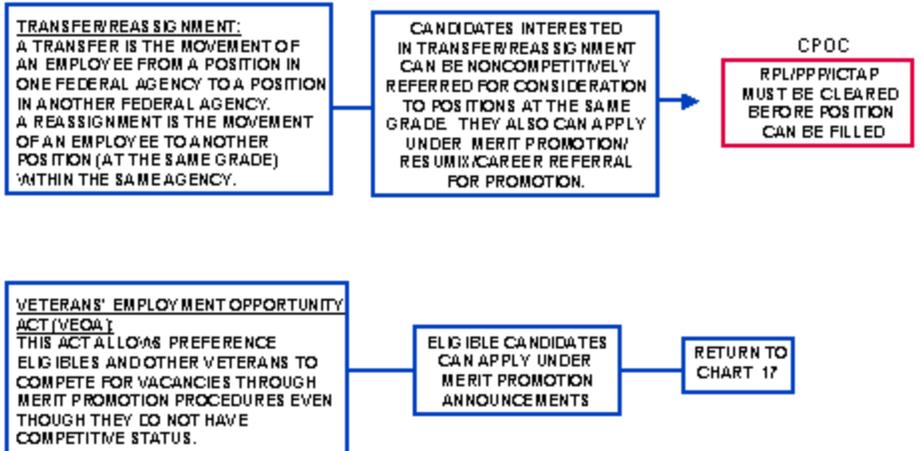


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## CHAPTER 7

### DOD PRIORITY PLACEMENT PROGRAM

#### 7-1. References.

DOD 1400.20-1-M, DoD Program for Stability of Civilian Employment

Policies,  
Procedures and Programs Manual, dated Sep 1990  
DOD Directive 1400.25, DOD Civilian Personnel Manual, dated 25 Nov  
96

## 7-2. Background.

a. The Department of Defense (DoD) Priority Placement Program (PPP) is the primary vehicle for placing employees scheduled for involuntary separation or demotion through no fault of their own in positions elsewhere in the DoD. The program is designed to give assistance to DoD employees in continuing their careers if they have been adversely affected by a Reduction-In-Force (RIF), base closure, realignment, consolidation, contracting-out action, position classification decision, rotation from overseas assignments, or a transfer of function (TOF). The Priority Placement Program provides placement assistance for positions at or below an employee's current grade -- not for promotion.

b. Employees may be denied registration if their performance or conduct is less than fully satisfactory. Performance or conduct is considered less than fully satisfactory when the registering activity has knowledge that such performance or conduct directly or negatively affects the employee's qualifications, eligibility, or suitability for placement. The employee cannot be registered in the PPP until and unless the employee's performance or conduct is determined to be fully satisfactory. After registration, an employee shall be removed immediately from the PPP when his or her performance or conduct fails to meet this standard.

7-3. Covered Actions. All actions to fill positions in the competitive and excepted service (including permanent, temporary, part-time, intermittent, and seasonal) at grades GS-1 through GS-15, all Federal Wage System (FWS) positions and all special pay system positions are subject to the PPP unless specifically exempt. DoD activities must clear the following actions through PPP as soon as a Request for Personnel Action is received at the NE CPOC: promotions, demotions to positions with higher promotion potential, reassignments, recruit actions (including reinstatements and conversions), and transfers.

7-4. Registration. Employees are registered in the PPP with a numeric priority (1 through 3). The priority is assigned based on the severity of the employee's proposed personnel action. For example, an employee facing RIF-separation is assigned a Priority 1 while an employee with a RIF offer of a change to lower grade to a position one grade below the current grade held is assigned Priority 3. Position offers are made to registrants from the highest priority group available.

## 7-5. Placement.

a. Only those registrants deemed to be well qualified would be placed in a position being cleared for recruitment purposes. A well-qualified registrant is one who is able to satisfactorily perform the duties of a position after a short orientation (usually no more than 90 days) and without extensive training. When well-qualified registrants are available, they must be offered the position being cleared. Offers to Military spouses are mandatory if they are among the best-qualified (BQ) when ranked using your crediting plan. Registrants have 48 hours to accept or decline the offer.

b. Qualifications are determined jointly by the gaining and registering activities. Gaining activities are not authorized to unilaterally disqualify registrants. When there is a mutual decision between the registering and gaining Civilian Personnel Office, that decision is final. If, however, the two activities disagree on the registrant's qualifications, a qualification determination from the Deputy Chief for Operations, Civilian Assistance and Reemployment (CARE) Division, Civilian Personnel Management Service (CPMS) can be requested.

7-6. Pay Setting. Individuals otherwise eligible for retained grade or pay who are placed through the PPP will receive pay or grade retention, as appropriate. If the employee is not eligible for grade or pay retention, his or her pay is set in the new grade at a step or rate that is closest to their current pay without going below it.

7-7. Relocation Expenses. Relocation expenses for individuals placed through the PPP, other than military spouse preference and family member registrants, are paid by the releasing activity in accordance with the provisions of the Joint Travel Regulations, Volume II.

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## CHAPTER 8

### DETAILS

#### 8-1. References.

5 CFR 300, Employment (General)

Army Regulation 690-300, Employment - Civilian Personnel,  
Subchapter 8

CECOM Regulation 690-335 dated 7 Oct 94, Merit Promotion and  
Internal Placement Program

#### 8-2. Definition.

- a. A detail is the temporary assignment of an employee to a different position or set of duties for a specified period with the employee returning to his or her original position at the end of the detail.
- b. There is no formal position change; officially the employee continues to hold the position from which detailed and keeps the same status and pay.
- c. Some of the reasons details of civilian employees are used are to relieve a temporary shortage of personnel, reduce an exceptional volume of work, address new mission demands, and to increase workforce skills through developmental assignments.

### 8-3. General Provisions.

- a. Selection of employees for details will be made solely on the basis of the employee's ability to perform the duties of the position and without regard to race, color, religion, political, or other lawful affiliation, marital status, sex, age, or national origin. Employees do not need to meet qualification standards (other than education requirements) in order to be detailed.
- b. Persons authorized to approve details should be cognizant of other means of meeting mission needs (such as reorganization of functions, redistribution of duties or temporary promotions). Temporary promotions exceeding 120 days must be processed according to competitive Merit Promotion and Internal Placement Program procedures.
- c. Supervisors are responsible for proper detailing of employees; informing employees of the reasons for and conditions of the detail; and ensuring that employees are returned to their official duties when the detail ends.
- d. Employees cannot be detailed to positions other than the kind for which they were hired immediately after the competitive appointment (e.g., an employee hired as a supply clerk could not be detailed to a budget clerk position) for at least 3 months after their initial appointment. Additionally, employees may not be detailed to positions in other examining jurisdictions immediately after the competitive appointment (e.g., an employee hired at Fort Monmouth could not be immediately detailed to a position at Fort Dix). Those actions would compromise the competitive principles and are not permitted.
- e. Competitive procedures must be used if an employee within the American Federation of Employees (AFGE) CECOM bargaining unit will spend more than 60 days in a higher-graded position or in a position with known promotion potential within any 12-month period. For all other employees serviced by the DCSPER, Ft. Monmouth, details of more

than 120 days to a higher-graded position or to a position with known promotion potential will be processed under MP procedures. (Prior service during the preceding 12 months under noncompetitive temporary promotions and noncompetitive details to higher graded positions counts toward the 60-day or 120-day total.) This requirement is not to be circumvented by a series of temporary assignments.

f. Non-competitive details will be confined to an initial period of 120 days with extension(s) in 120-day increments up to a maximum of one year for details to unclassified positions. (A position is considered classified for this purpose if it has a written statement of duties to which a grade level has been assigned by an appropriate classification authority, even if the position has not been officially established.)

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## CHAPTER 9

### REDUCTION IN FORCE (RIF)

#### 9-1. References.

5 CFR 351, Reduction in Force  
AR 690-351, Reduction in Force

#### 9-2. Background.

a. There will be times when, because of reorganization or actual base closures, employees must be released from their positions. RIF procedures must be used when an employee is faced with separation or downgrading for a reason such as reorganization; lack of work; shortage of funds; insufficient manpower personnel spaces; the exercise of certain reemployment or restoration rights; or the reclassification of an employee's position due to erosion of duties under certain circumstances. A furlough of more than 30 calendar days, or of more than 22 discontinuous work days, is also a RIF action.

b. It is management's responsibility to decide whether a RIF is necessary, when it will take place, and what positions are abolished.

c. The law provides that Office of Personnel Management's (OPM's) RIF regulations must consider four factors in releasing employees: (1) tenure of employment (tenure refers to the type of appointment such as career, career-conditional, term, etc.); (2) veterans preference; (3) length of service; and (4) performance ratings.

#### 9-3 RIF Alternatives.

a. Some unexpected and undesirable outcomes from a RIF include temporary loss of efficiency due to many people moving into new jobs at the same time, low employee morale, and high one-time costs in unemployment compensation, lump-sum payments for accrued annual leave, and severance pay.

b. Management can exercise a number of options to either reduce the impact of a RIF or avoid the need to have one. Management actions such as hiring freezes, terminating temporary employees, short furloughs (30 consecutive days or less), reduction in work hours, retraining, or curtailing discretionary spending may help avoid a RIF. Agencies may also encourage employees to voluntarily request leave-without-pay, optional retirement, or a reduction in their work hours.

c. Agencies may request authority to offer Voluntary Separation Incentive Pay (VSIP) and/or Voluntary Early Retirement Authority (VERA). In DOD, activities must offer VSIPs (also known as buyouts) to their employees at least 30 days before they issue RIF notices. VSIPs are lump sum payments paid to encourage permanent employees to resign or retire. Buyouts may be targeted at specific grades, series, or locations to help avoid RIFs. The incentive amount is the lesser of \$25,000 or an amount equal to the amount an employee would receive under the severance pay formula. The incentive applies only to voluntary separations (i.e., optional retirement and resignation). There are restrictions on re-employment and requirements to repay the VSIP if the employee is re-employed by the DOD.

If OPM, responding to the request of an agency head, determines that an agency is undergoing a major RIF or reorganization that will result in a significant number of employees losing their jobs or having their pay reduced, it may authorize early retirement for employees during a limited period. To be eligible for VERA, an employee must be at least age 50 with 20 years of creditable service, or be any age with 25 years of service. Under CSRS, the annuity is reduced by 2 percent for each year the individual is under age 55. There is no age reduction under FERS, but the employee is not eligible for the Annuity Supplement (payable under FERS until age 62 in lieu of Social Security benefits) until attainment of the Minimum Retirement age 55 to 56, depending upon year of birth).

9-4. Responsibilities. In most cases RIF is initiated only after other alternatives fail. Once RIF becomes unavoidable, however, it is important to understand that everyone in the organization can do something to ensure the process is carried out as fairly and smoothly as possible:

a. Supervisors should keep employees informed; ensure position descriptions are accurate and annual performance ratings are accurate, current, and submitted on time; and support all actions taken as part of the RIF.

b. Employees need to inform their supervisors if position descriptions are not accurate. They also need to provide up-to-date information on their veteran's preference, experience, and education. If the RIF is going to result in separations, employees may have to consider mobility if they wish to be placed through the Priority Placement Program.

9-5. Competitive Area. Once the Deputy Chief of Staff for Personnel has received the necessary information, actual placement of employees begins. The first consideration in a RIF is the competitive area (i.e., the geographical and organizational limits within which employees compete for retention). A competitive area usually includes all the units or activities of a command in a specified commuting area. In rare instances, a competitive area may have worldwide application (e.g., the employees in the CECOM Logistics Assistance Representative Program are in one competitive area, regardless of their duty location). RIF competition is held for all employees within the designated competitive area. Centrally funded interns whose employment is supported by DA spaces and funds will not be included in competitive areas with other Fort Monmouth employees for RIF purposes. Competitive areas cannot be changed within 90 days of a RIF without specific approval from OPM.

9-6. Competitive Level. The next consideration is the "competitive level". A competitive level is a group of positions, not people, in a competitive area which are the same grade and classification series. The positions are similar enough in duties, qualifications requirements, pay schedules, and working conditions so that the incumbent of one position can successfully perform the duties of any other position in the level without any loss of productivity beyond what is normally expected in the orientation of any new but fully qualified employee. Positions with different types of work schedules (e.g., full-time, part-time, intermittent) are placed in different competitive levels. Under these criteria, supervisory positions are not placed in the same competitive level as nonsupervisory positions. Finally, competitive and excepted service positions are placed in separate competitive levels.

9-7. Retention Registers.

A formula combining the four factors mandated by law (see para 9-2c) is used to determine an employee's retention standing. The four factors are tenure, veterans' preference, length of service and performance. Each competitive level becomes a retention register that lists employees

in order of their retention standing. Retention standing is the relative right of an employee to be retained in a position when similar positions are being abolished and employees are being reassigned, demoted, separated or furloughed.

a. **Tenure.** Employees are ranked on a retention register in three groups according to their types of appointment.

(1) Group I - Employees with Career Appointments who have completed the probationary period for initial appointment to a competitive position. (A new supervisor or manager who is serving the probationary period required on initial appointment to that type of position is not considered to be serving on probation if the employee previously completed a probationary period.)

(2) Group II - Employees with Career-Conditional appointments and career employees who are serving a probationary period.

(3) Group III - Employees serving under term and similar non-status appointments. (An employee serving under a temporary appointment in the competitive service is not a competing employee for RIF purposes and is not listed on the retention register).

b. Veterans' Preference. Within each tenure group, employees are divided into subgroups reflecting their entitlement to veterans' preference. A retired member of the armed forces is considered to be a veteran only if (1) the armed forces retired pay is directly based upon a combat-incurred disability or injury, (2) if the retirement is based upon less than 20 years of active service, or (3) if the employee has been working for the government since November 30, 1964, without a break of service of more than 30 days and retired below the rank of major (or equivalent).

(1) Subgroup AD Veterans with a compensable service-connected disability of 30% or more.

(2) Subgroup A Veterans not included in subgroup AD.

(3) Subgroup B Nonveterans.

c. Length of Service and Performance.

(1) Employees are then listed by their service computation date (total of all Federal civilian and creditable military service, with an additional service credit for certain performance ratings), within each subgroup. The most senior employee is listed at the top and the most junior at the bottom.

(2) Additional service credit for performance is determined by averaging the last three annual performance ratings received during the 4-year period prior to the date the agency issued RIF notices. The 4-year period is the earlier of the date the agency issues RIF notices, or the date the agency freezes ratings before issuing RIF notices. The extra credits are: 20 years for a Level 1 rating; 16 years for a Level 2 rating, and 12 years for a Level 3 rating. The total years earned are averaged to give the number of additional years credit for RIF. For example, an employee who began Federal service on June 1, 1980 and whose three most recent ratings of record during the 4-year look-back period are "Successful Level 1" will have an adjusted service computation date of June 1, 1960 because he or she is given 20 years additional service credit.

If an employee has received only one rating during the look-back period, the value of that single rating is used to assign the additional retention service credit. So, if an employee has received a single rating of Successful Level 2 during the look-back period, the employee is given 16 additional years of credit. If an employee has received only two ratings, the value assigned to each rating is added together and divided by two (and rounded to the next higher whole number if the result is a fraction) to derive the amount of additional retention service credit.

If an employee has received no ratings of record, he or she is given additional retention service credit based upon the most common or "modal" summary rating level. Within the Department of the Army, the modal rating is the summary rating level assigned most frequently among the actual ratings of record within the competitive area during the 12 months period preceding the date of issuance of RIF notices or the established cutoff date after which no new ratings will be put on record. If the modal rating for a competitive area is determined to be Successful Level 1, for example, employees within the competitive area who have no ratings of record during the look-back period are assigned 20 years of additional credit.

d. Release. Employees are released from the retention register in the inverse order of their retention standing (e.g., the employee with the lowest standing is the individual who is actually reached for a RIF action). All employees in Group III (Nonstatus) are released before employees in Group II (Career-conditional), and all employees in Group II are released before employees Group I (Career). Then within subgroups, all employees in Subgroup B are released before employees in Subgroup A, and all employees in Subgroup A are released before employees in Subgroup AD.

e. Excepted Service. Employees compete on separate retention registers from competitive service employees, utilizing similar groups

and subgroups as indicated for competitive service employees.

9-8. Employees Identified Separately on the Retention Register.

- a. Employees with temporary appointments limited to 1 year or less. These employees must be separated before any Group I, II or III employee in their competitive level.
- b. Employees with temporary promotions to the affected positions. These employees will compete in their permanent positions; i.e., in the competitive level from which temporarily promoted.
- c. Employee with a written decision of removal from a position because of unsatisfactory performance. If these employees are to be retained, they will compete in the position to which they will be reassigned or downgraded as a result of their unsatisfactory performance.

9-9. RIF Assignment Rights. Competitive service employees in Groups I and II who are released from their competitive level and have current performance ratings of at least "minimally successful" are entitled to an offer of assignment if they have "bumping" or "retreating" rights to an available position in the same competitive area. An "available" position must (1) last at least 3 months; (2) be in the competitive service; (3) be one the released employee qualifies for; (4) have the same type of work schedule; and (5) be within three grades (or grade-intervals) of the employee's present position. Employees in Group III (term employees and status quo employees) and employees in Groups I and II with current performance ratings of "Unsuccessful" have no assignment rights to other positions. Employees' holding excepted service positions have no assignment rights unless their agencies choose to offer them rights.

a. Bumping. Means displacing an employee in the same competitive area who is in a lower tenure group, or in a lower subgroup within the released employee's own tenure group (e.g., a Tenure I employee displaces a Tenure II employee). Although the released employee must be qualified for the position, it may be a position that he or she has never held provided:

(1) The position is at the same grade or no lower than three grades or three grade-intervals (or equivalent)

(2) The position is held by an employee in a lower subgroup (e.g., a IA may bump a IB).

b. Retreating. Means displacing an employee in the same competitive area who has less service within the released employee's own tenure group and subgroup. The position must be at the same grade, or within

three grades or grade-intervals, of the employee's present position. However, an employee in retention subgroup AD has expanded retreat rights to positions up to five grades or grade-intervals lower than the position held. An employee with a current annual performance rating of "Minimally Successful" only has retreat rights to positions held by employees with the same or lower ratings. In order for an employee to retreat:

- (1) He or she must have held the position or one like it. This right is restricted to jobs in the employee's current competitive area, although he or she may have served in the position in a different competitive area, or in a different agency.
- (2) The position is occupied by an employee in the same subgroup with a later service computation date (e.g., a IB with a service computation date of 03-10-76 may retreat to a position occupied by an employee with a service computation date of 04-10-76).
- (3) The position offered through exercise of retreat rights is a better offer than can be made through bumping.

9-10. Placement in Vacant Positions. Commanders may use vacancies whenever necessary to lessen the impact of RIF, however, an agency is not required to offer vacant positions in a RIF. The agency may choose to fill all, some, or none of the vacancies. When an agency chooses to fill vacancies with an employee reached for RIF action, it must do so in retention order.

9-11. Advance Notice.

- a. Affected employees must be given at least 60-calendar days written notice prior to effecting a reassignment, demotion, or separation due to RIF.
- b. From the time a RIF is announced until it is effected, authorized personnel actions may occur that affect the relative retention standing of individual employees. Accordingly, changes that affect an employee's retention standing on or before the effective date of the RIF action must be taken into account in determining the retention standing of an employee.
- c. Factors that may change an employee's retention standing include: conversion from Career-Conditional to Career status; conversion from Excepted Service to Competitive Service; retirements, transfers, etc.

9-12. Grievance and Appeal. Employees may appeal RIF actions to the Merit Systems Protection Board (MSPB) if they believe the agency did not properly follow the RIF regulations. The appeal must be filed during

the 30-day period beginning the day after the effective date of the RIF action. However, where there is a negotiated grievance procedure with a local union, a bargaining unit employee must follow the procedure outlined in the negotiated contract.

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## CHAPTER 10 DISCIPLINE AND ADVERSE ACTION

### 10-1. References.

5 Code of Federal Regulations 752, Adverse Actions  
Army Regulation 690-700, Personnel Relations and Services (General),  
Chapter  
751 (Discipline)

10-2. Background. Maintaining discipline usually is not a problem within a work environment where reasonable rules and standards of conduct and performance are clearly communicated and consistently and equitably enforced. There are situations of misconduct or delinquency, however, where there is no alternative but to penalize the employee.

The broad objective of discipline is to correct inappropriate behavior. Discipline is a daily responsibility and not merely an action taken at times when an employee deviates from acceptable conduct. Corrective action needs to be taken to prevent prohibited activities and when the employee has done something or failed to do something which adversely affects his or her work, the ability of others to do their work, or the agency's mission.

Constructive discipline should be preventive rather than punitive in nature, taken only when necessary, and promptly and equitably applied. Its objectives are to develop, correct, and rehabilitate employees and encourage their acceptance of appropriate responsibilities and standards of conduct. Penalties must not be disproportionate to offenses and are to be applied as consistently as possible.

### 10-3. Responsibilities.

a. Supervisors are responsible for:

(1) Communicating acceptable levels of conduct to an employee. When alternative corrective actions fail, the supervisor is responsible for taking appropriate disciplinary action.

(2) Disciplining in a timely manner.

(3) Ensuring that the penalty assessed is reasonable and is not

influenced by the employee's race, color, physical/mental handicap, national origin, religion, age, sex, marital status, or political affiliations.

b. The Civilian Personnel Advisory Center (CPAC) is the primary local source of authoritative information and interpretation of policy and procedures concerning civilian discipline and adverse actions, and shares in management's responsibility to ensure that actions have merit and comply with governing requirements. Accordingly, written notices of proposed disciplinary and adverse actions must be coordinated with the CPAC before delivery to employees. The CPAC specialist will coordinate the action with the legal office. If you have any questions or need assistance at any time during this process, please call your servicing personnel management specialist.

10-4. Disciplinary Action Options. Once a supervisor has reviewed the circumstances surrounding the employee's conduct and determined that it involves some form of misconduct, his or her option could be to take disciplinary action. In these instances, the range of penalties, in order of the least severe to the most severe, include oral admonishments/written warnings; reprimands; suspension from duty and pay status; involuntary reductions in grade and/or pay; and removals.

10-5. Selecting Appropriate Action.

a. Disciplinary actions fall into two categories: informal disciplinary actions (oral admonishments and written warnings) and formal disciplinary actions (letters of reprimand, suspensions, involuntary reductions in grade or pay, and removal). Similarly, employee conduct requiring discipline falls into two categories: behavioral offenses for which progressive discipline aimed at correcting the behavior is appropriate and offenses relating to violation of regulations or laws for which punitive sanctions are required. Disciplinary action should be taken for the purpose of either correcting offending employee behavior and problem situations or for the purpose of imposing punishment necessary to maintain discipline and morale among employees.

b. Disciplinary actions must not be arbitrary or capricious, the penalty selected must not be clearly excessive in relation to the offense and to prior practice, and must not otherwise be unreasonable. Supervisors must observe the principle of "like penalties for like offenses in like circumstances". This means that penalties should be applied as consistently as possible.

c. Table 1-1 (Table of Various Offenses) contained in the referenced AR 690-700, Chapter 751, sets forth a range of discretionary penalties that the Department of the Army views as a general guide to supervisors in administering discipline to employees for particular offenses. It is a

guide to discipline, not a rigid standard. Deviations are allowable for a variety of reasons, e.g. when the offense is especially serious or when an employee is being charged with multiple offenses. The Table of Various Offenses can be found at:

<http://www.cpol.army.mil/permis>

d. Selection of an appropriate penalty involves a responsible balancing of the relevant factors in the individual case. The following criteria, often called the "Douglas Factors" should be considered in selecting the appropriate penalty:

(1) The nature and seriousness of the offense, and its relation to the employee's duties, position, and responsibilities, including whether the offense was intentional or technical or inadvertent, or was committed maliciously or for gain, or was frequently repeated.

(2) The employee's job level and type of employment, including supervisory or fiduciary role, contacts with the public, and prominence of the position.

(3) The employee's past disciplinary record.

(4) The employee's past work record, including length of service, performance on the job, ability to get along with fellow workers, and dependability.

(5) The effect of the offense upon the employee's ability to perform at a satisfactory level and its effect upon supervisors' confidence in the employee's ability to perform assigned duties.

(6) The consistency of the penalty with those imposed upon other employees for the same or similar offenses in like or similar circumstances.

(7) The consistency of the penalty with the DA Table of Penalties Pertaining to Various Offenses.

(8) The notoriety of the offense or its impact upon the reputation of the Department of the Army.

(9) The clarity with which the employee was on notice of any rules that were violated in committing the offense, or had been warned about the conduct in question.

(10) Any potential for rehabilitation.

(11) The mitigating circumstances surrounding the offense such as unusual job tensions, personality problems, mental impairment, harassment, or bad faith, malice or provocation on the part of others

involved in the matter.

(12) The adequacy and effectiveness of alternative sanctions to deter such conduct in the future by the employees or others.

#### 10-6. Informal Disciplinary Action - Oral Admonishments and Written Warnings.

a. The supervisor takes informal disciplinary actions on his or her own initiative in situations of a minor nature involving unacceptable behavior. Oral admonishments and written warnings are normally the first steps in progressive discipline for behavioral offenses and they should be documented. The discussion should be conducted informally and in private without embarrassing the employee in front of coworkers.

b. The employee should be advised of the specific infraction or breach of conduct, when it occurred (date and time of the incident), the reason the behavior is inappropriate, what behavior is expected of the employee, and be given an opportunity to provide an explanation. The discussion, the employee's response, and the corrective action or resolution should be summarized on a written Memorandum for Record. A copy of the memo should be provided to the employee, and signed by both supervisor and employee. No record is placed in the employee's official personnel folder, however, a copy should be kept in the supervisor's informal employee record. The employee is to be advised that any further incidents of inappropriate behavior might lead to formal disciplinary action.

#### 10-7. Formal Disciplinary Action.

a. Formal disciplinary actions include reprimands, suspensions from duty and pay status, involuntary reductions in grade and/or pay, and removals. Formal disciplinary actions are initiated by supervisors, with advice and assistance on appropriate penalties and other pertinent concerns from the servicing personnel management specialist. Whenever a formal disciplinary action is proposed, an employee is entitled to:

(1) Advance written notice stating the specific reasons for the proposed action,

(2) A reasonable time (normally 30 days) to answer orally or in writing or both and to furnish affidavits and other documentary evidence in support of the answer,

(3) Representation by an attorney or other representative, and

(4) A written decision and the specific reason(s) for the decision at the earliest practicable date.

b. Further information on disciplinary actions is available through PERMISS at

<http://www.cpol.army.mil/permis>

c. Again, the Office of the Deputy Chief of Staff for Personnel is the primary local source of authoritative information and interpretation of policy and procedures concerning civilian discipline and adverse actions, and shares in management's responsibility to ensure that actions have merit and comply with governing requirements. Your servicing personnel management specialist can provide advice and guidance on preparing a disciplinary action. The specialist will coordinate the guidance provided with an attorney.

10-8. Burden of Proof. Management must show the reason(s) for the action taken, that the alleged misconduct actually occurred and the disciplinary or adverse action promotes the efficiency of the service. The burden of proof is “preponderance of the evidence”, which means that 51% of the credible evidence must support management’s position, making it “more likely than not” that the misconduct occurred.

10-9. Alternative Disciplinary Agreement (ADA).

a. ADA is a new approach to handling misconduct that would otherwise result in a suspension of 1 to 14 days. The program includes all offenses for which a suspension is appropriate but is not mandated by regulation. ADA is designed to offer a win-win situation. It reduces lost productivity for disciplinary reasons, avoids loss of salary for a period of suspension, allows the employee to become involved in the decision making process concerning his or her discipline, and reduces time required to process a disciplinary action. ADA is consistent with Department of Army's emphasis on innovative approach to discipline.

b. The employee who is being considered for suspension without pay is offered a choice, either to accept a suspension without pay or remain on the job after voluntarily signing an agreement admitting the misconduct. Included in the agreement is a commitment by the employee for improved future conduct and an acknowledgment that any future misconduct will result in a more severe action. The employee further waives all grievance rights relating to the specific incident described in the agreement.

c. While suspensions and ADAs are both placed in the employee's official personnel file (OPF), ADAs are not permanently maintained in the OPF. The length of time before an ADA can be removed from the OPF is commensurate with the suspension period management would have imposed had the employee not elected ADA. Moreover, any future misconduct will be considered as subsequent offenses to the

misconduct for the length of time the ADA remains in the OPF. For instance, if an employee elects ADA in lieu of a 5-day suspension, the ADA would be maintained in the OPF for two years. If the suspension was for 10-days, the ADA would be maintained for four years.

10-10. Duty Status. Under ordinary circumstances, an employee whose removal or suspension, including indefinite suspension, has been proposed remains in a duty status in his or her regular position during the advance notice period. In those rare circumstances where the agency determines that the employee's continued presence in the workplace during the notice period may pose a threat to the employee or others, result in the loss of or damage to Government property, or otherwise jeopardize legitimate Government interests, the agency may elect one or a combination of the following alternatives:

a. Assign the employee to duties where he or she is no longer a threat to safety, the agency mission, or to Government property;

b. Allow the employee to take leave, or carry him or her in an appropriate leave status (annual, sick, leave without pay, or absence without leave) if the employee has left the worksite without requesting leave;

c. Curtail the notice period when the agency can invoke the "crime provision". The crime provision allows an exception to the required 30 days advance written notice when the agency has reasonable cause to believe that the employee has committed a crime for which a sentence of imprisonment may be imposed and is proposing a removal or suspension (including indefinite suspension). The agency may require the employee to furnish any answer to the proposed action, and affidavits and other documentary evidence in support of the answer in 7 days.

d. Place the employee in a paid, nonduty status for such time as is necessary to effect the action.

10-11. Deciding Official. In any proposed adverse action, employees are given the right to reply orally and/or in writing, stating "any and all" reasons why the proposed action should not be taken against them. The replies are to be made only to the deciding official. The function of the deciding official is to impartially review all the evidence of record, give full and impartial consideration to any reply the employee makes, and determine the validity and reasonableness of the proposed action.

A deciding official must be assigned to an organizational level higher than any employee involved in the action or having a direct interest unless the deciding official is the head of a DoD Component, installation, or activity. Normally the first level supervisor will sign and

issue the proposal and the second level supervisor will be responsible for receiving and considering the employee's answer and make a final decision on the matter by issuing a notice of decision.

The employee has the right to be informed of, and reply to, all the charges against him/her. The employee also has a right to review all material relied on in proposing the action. The deciding official must be careful that there is no material that influenced the decision that the employee was not informed of or allowed to review.

No decision should be made until the deciding official has given full and careful consideration to any and all replies made by the employee. The deciding official must be careful not to give the appearance of having made up his or her mind prematurely.

After considering all the information available, the deciding official can sustain, reduce or cancel the proposed action. The proposed action should be sustained if the employee either did not reply or failed to offer any valid/acceptable reasons for his or her actions and the record shows that the proposed action is warranted. The penalty should be mitigated if the employee is guilty of the infraction, but there are relevant, extenuating circumstances which warrant a less severe penalty within the range provided by the DA Table of Penalties Pertaining to Various Offenses. The action should be cancelled if the employee's response clearly justifies his or her action and the penalty is unwarranted.

10-12. Decision Notice. The employee is entitled to a written decision and the specific reason(s) for the decision at the earliest possible date. For bargaining unit employees, refer to the appropriate negotiated agreement for the amount of time that a deciding official has to issue the decision notice. If the employee is a non-bargaining unit employee, refer to agency procedures.

Decision notices should contain information demonstrating that the deciding official has considered all of the information available, both aggravating and mitigating. Such notices should also explain what weight was given to the aggravating factors in reaching the final decision. The notice must inform the employee of the decision and of any rights he or she may have to grieve or appeal the action. Decision notices must be reviewed by your servicing personnel management specialist prior to delivery to the employee to ensure that the decision is procedurally sound and legally supportable. A copy of the Notification of Personnel Action will also be forwarded to the employee, either as an attachment to the decision letter or through separate correspondence.

10-13 . Employee Assistance Program (EAP). The cause of the

employee's misconduct may be personal in nature (i.e., illness, disability, substance abuse, personality conflict, family problems, etc.). Fort Monmouth has an Employee Assistance Program whose goal is to restore employees to full productivity.

More specifically, the EAP provides free, confidential short term counseling to identify the employee's problem and, when appropriate, make a referral to an outside organization, facility, or program that can assist the employee in resolving his or her problem. The supervisor needs to offer the employee use of the program, however, participation in the EAP is voluntary and it is the employee's decision to participate or not.

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## CHAPTER 11

### GRIEVANCES

#### (DISCIPLINE AND ADVERSE ACTION)

##### 11-1. References.

U.S. Code Title 5, Chapter 71 (Federal Service Labor-Management Relations Statute)  
5 CFR 732, Adverse Actions  
DoD 1400.25-M, Civilian Personnel Manual, Subchapter 771 (Administrative Grievance System), dated Dec 96  
DoD 5145.5, Alternative Dispute Resolutions, April 96  
CECOM Supplement 1 to Army Regulation 690-700, Personnel Relations and Services General), dated 20 Oct 87

##### 11-2. Background.

a. Employees have a right to present their grievances to management officials for prompt consideration and a fair decision. A grievance is a request by an employee(s) for personal relief in a matter of concern or dissatisfaction relating to his or her employment that is under Department of Army control. An employee may exercise this right in his or her behalf or may elect to be represented by an individual of his or her choosing, provided there is no conflict of interest determination in the choice of the representative.

b. In exercising this right, the employee and his or her representative will be free from restraint, coercion, discrimination, or reprisal. Because dissatisfactions and disagreements sometimes arise among people in any work situation, the filing of a grievance by an employee will not reflect unfavorably on an employee's good standing, performance, loyalty, or worth to the organization. Similarly, the filing of grievances does not reflect unfavorably on the quality of supervision or on the general management of an organization.

### 11-3. Responsibilities.

a. Manager and Supervisor Responsibilities. All managers and supervisors will assist the commander in maintaining a positive work atmosphere in which most grievances are resolved informally, and ensure that employee grievances are handled fairly and promptly as provided in the grievance regulations. The supervisor may not reject grievances. Supervisors should contact their servicing personnel management specialist for information on grievance procedures.

b. Employee and Representative. Each employee and his or her representative will promptly notify the immediate supervisor when a grievance procedure is being invoked; comply with the grievance procedure; abide by the time limits; and cooperate with management during any investigative proceedings.

c. Office of the Deputy Chief of Staff for Personnel. Upon request, the CPAC will give the employee information about pertinent personnel laws and regulations, however, the CPAC will not serve as the employee's advocate. When an employee is grieving a disciplinary action, a personnel management specialist other than the one advising management on the matter will be assigned to help the employee.

The CPAC will also give advice and guidance to supervisors regarding the rights, privileges, and obligations of supervisors and employees.

### 11-4. Negotiated Grievance Procedure (NGP).

Every negotiated agreement contains a negotiated grievance procedure. This is the exclusive procedure for resolving bargaining unit employees' grievances for all matters that are not specifically excluded by the Federal Service Labor-Management Relations Statute. The NGP provides an established mechanism of communication for allowing the concerns/complaints of the employees and the union to be heard and addressed by management. The goal of every NGP is to resolve complaints as quickly as possible and at the lowest possible level. Allowing grievances to fester has a negative impact not only on the grievant but with co-workers as well.

## 11-5. Department of Defense (DOD) Administrative Grievance System (AGS).

a. Fort Monmouth follows the DOD Administrative Grievance System. The AGS provides an avenue for GS employees who are not in a bargaining unit to have matters of personal concern or dissatisfaction relating to their employment resolved. This grievance procedure also applies to employees in established bargaining units when the matter cannot be grieved under the negotiated grievance procedure.

b. The DoD AGS is a two-step process. Resolution is encouraged at either stage.

(1) Problem solving process: An employee may informally present a work-related problem to his or her supervisor before filing a formal grievance. The problem must be presented within 15 days following the date the problem occurred or when the employee became aware of the problem. The employee may present a matter regarding a continuing practice at any time. The use of a neutral party is encouraged. If resolution is not reached the employee may file a formal grievance. The employee may also choose to bypass this stage.

(2) Grievance process: The employee may file a written, formal grievance to the designated deciding official within 15 days of the conclusion of the problem solving process or of the date of the act causing the problem. A grievance on a continuing practice may be filed at any time. The deciding official determines how to approach reaching a decision on the grievance, either by investigation or designating an impartial individual to examine a grievance and provide a recommendation. The deciding official will issue a decision that is final and not subject to further review.

## 11-6. Relationship to Other Appeal or Complaint Procedures.

a. When an employee alleges discrimination on the basis of race, color, religion, age, sex, national origin, or mental or physical handicap, the matter will be referred to the Equal Employment Opportunity Officer (EEO) for consideration under equal employment opportunity (EEO) complaint procedures.

b. Complaints to the Inspector General (IG).

(1) Complaints, allegations, and reports of official misconduct, mismanagement, waste, and inefficiency that do not involve personal relief should be submitted under the Inspector General complaint system or to the Special Counsel of the Merit Systems Protection Board (MSPB) for investigating prohibited personnel practices.

(2) An employee may file a grievance after filing a complaint under one of these systems; however, he or she must comply with the prescribed time limits for doing so. Filing a complaint under another system does not extend the time limits for filing a grievance.

11-7. Use of Official Time. Employees, if otherwise in an active duty status, may use reasonable amounts of official time, subject to supervisory approval, to:

(1) Get advice on rights and privileges from an official source (e.g., meet with a representative of the Personnel office).

(2) Prepare a grievance.

(3) Present grievances (e.g., meet with the grievance investigator or management officials considering the grievance).

11-8. Representation.

a. An individual of his or her own choosing can represent a grievant, however, bargaining unit employees may be required to contact their union for approval of their choice of representative. Representatives must be designated in writing. The representative's name will be sent through the grievant's immediate supervisor to the Civilian Personnel Advisory Center. Changes in representatives must be noted in writing in the same manner. The grievant must make all arrangements for a representative.

b. Management may challenge an employee's choice of representative if the representative's service may result in a conflict of interest/position, conflict with mission priorities, or result in unreasonable costs. Your servicing personnel management specialist will provide assistance in this regard.

c. DA employees may use reasonable amounts of official time to act as a representative. Their supervisor must approve their use of official time.

11-9. Information from Records and Regulations. Upon request, employees will be given information from official records related to their grievances. Also, they will be given full access to relevant regulations and official directives. However, records will not be released if prohibited by law or regulation.

11-10. Merit Systems Protection Board (MSPB). When an employee is covered under a negotiated grievance procedure (NGP), the employee may use the NGP or may file an appeal with MSPB, but may not do both.

The U.S. Merit Systems Protection Board is an independent, quasi-judicial agency in the executive branch that serves as the guardian of federal merit systems. The board's mission is to ensure that federal employees are protected against abuses by agency management, that executive branch agencies make employment decisions in accordance with the merit system principles, and that federal merit systems are kept free of prohibited personnel practices. MSPB members are appointed by the President, confirmed by the Senate, and serve overlapping, non-renewable, seven-year terms.

The board hears and decides employee appeals from agency adverse personnel actions (removals, suspensions of more than 14 days, reductions in grade or pay, and furloughs of 30 days or less). In addition to adverse actions, the board hears cases pertaining to performance-based removals or reductions in grade, denials of within-grade increases, certain reduction-in-force actions, denials of restoration to duty orders, and other personnel actions if the appellant alleges that the action was taken because of his or her whistle blowing.

The agency has the burden of proving that it was justified in taking the action being appealed. The appellant has the burden of proving that the appeal is within the board's jurisdiction and that it was filed in a timely manner.

The board's decision on a petition for review constitutes final administrative action. Further appeal then may be available in the United States Court of Appeals for Federal Circuit or, in cases involving allegations of discrimination, with a U.S. District Court or the Equal Employment Opportunity Commission.

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## Chapter 12

### LABOR RELATIONS

#### 12-1. References.

U.S.C. Title 5, Chapter 71 (Federal Service Labor-Management Relations Statute)

5 U.S.C. 7101, Labor-Management Relations

5 U.S.C. 7102, Employee's Rights

EO 128751, Labor Management Partnership

#### 12-2 Background.

a. The Federal Service Labor-Management Relations Statute governs the labor-management relations program in the Federal government. The program is based on the Congressional finding that unions and collective bargaining are in the public interest. It protects the rights of employees of the federal government to organize, bargain collectively, and participate through labor organizations of their own choosing in decisions that affect them. The program is to be applied consistent with the requirement of an effective and efficient federal government.

b. Having employees represented by a union creates a bilateral relationship. Bilateralism means that management and the union make a joint effort to determine policies and practices affecting the working conditions of employees. This joint effort means that unions must be provided an opportunity to negotiate or suggest an alternative that would be agreeable to both sides. Generally, collective bargaining leads to a working agreement (also known as a negotiated agreement) between management and the union. In labor relations such an agreement becomes all-important and both sides must honor it.

### 12-3. Labor-Management Partnerships.

a. Executive Order (EO) 12871 created a new partnership arrangement aimed at transforming federal agencies "into organizations capable of delivering the highest quality service to the American People". The National Partnership Council (NPC) was established under the EO to create and promote partnership efforts in the executive branch and to advise the President on changes needed in personnel law, such as hiring and classification matters.

b. The order also calls on agency heads to form labor-management committees within the agencies, designed to involve employees and their union representatives as "full partners with management" to identify and craft solutions to agency operating problems. It placed emphasis on consensual methods of dispute resolution, such as alternative dispute resolution techniques and new bargaining approaches.

12-4. Rights. In a bilateral relationship each party maintains certain rights. The Statute prescribes certain rights for the management, the employee, and the union.

a. Management rights include the right to make management decisions (mission, budget, organization, number of employees, internal security and emergencies) and to take personnel actions (hire, direct, layoff or retain employees; remove, reduce in grade or pay, take disciplinary actions; assign work, contract out, promote).

Management may, but is not required by statute, bargain over numbers,

types and grades of employees or positions assigned to an organizational subdivision, work project, or tour of duty, or the methods, means and technology of conducting agency operations.

b. Federal employees have the right to form, join or assist a union. They have the right to refrain from doing so without fear of penalty or reprisal.

c. A recognized union has the right to negotiate with management in good faith concerning conditions of employment for bargaining unit members; to obtain data from management that is necessary for a full and proper discussion and understanding of subjects under discussion; to present its views to heads of agencies and other officials; to use official time when negotiating agreements; and to be present at certain discussions management may have with bargaining unit employees.

12-5. Exclusive Representative. The Statute requires the agency to deal exclusively with certified labor unions when establishing or modifying conditions of employment affecting bargaining unit employees. While all employees covered by the bargaining unit are bargaining unit members, only those employees who pay dues to the union are union members. Once a union has been certified as the exclusive representative, though, it must represent all bargaining unit members equally, regardless of their union membership. As such, when the union and management negotiate a collective bargaining agreement, its terms and conditions cover all employees in the bargaining unit irrespective of their union membership.

12-6. Bargaining Unit.

a. The bargaining unit is a group of employees who are represented by a labor union in their dealings with management. A unit is considered appropriate if it will ensure a clear and identifiable community of interest among the employees in the unit and will promote effective dealings with, and efficiency of the operations of, the agency involved.

b. Bargaining unit status (that is, whether the position is in or out of the unit) pertains solely to the employee's position in the agency -- it does not take into consideration whether the employee is a dues paying union member. As such, these are two distinct groups. Bargaining unit members are employees whose positions are included in the defined bargaining unit while union members are employees who pay dues to the labor organization. (Automatic payroll deduction of dues is commonly referred to as dues withholding).

c. Fort Monmouth has four recognized unions. They are the American Federation of Government Employees (AFGE), Local 1904; the National Federation of Federal Employees (NFFE), Local 476; the International Association of Firefighters (IAFF), Local F-103; and the Fraternal Order

of Police, US DOD Police Lodge 173.

d. The Statute specifically excludes supervisors and managers from bargaining unit coverage. They cannot be represented in dealings with management by unions that represent rank and file employees. The Statute also excludes confidential employees (employees whose duties routinely expose them to confidential labor relations information), Personnelists, and investigative employees (those who are directly involved in the agency's internal security). Management can unilaterally set their conditions of employment.

#### 12-7. Negotiations.

a. The obligation to negotiate requires a discussion and consideration of the other side's proposals - it does not compel either side to agree to a proposal or to make a concession. The negotiating process is designed to promote the balancing of the rights and interests of employees and the union with those of management, and to foster a two-way flow of communication.

b. Written negotiated agreements signed by both management and the union establishing various personnel policies, practices, and conditions of employment are usually accomplished through a full scope negotiation process called collective bargaining. Negotiated agreements cover a variety of topics such as discipline, official time, RIF procedures, and grievance procedures. The union is free to reject agency proposals in whole or in part, and to propose various alternatives that the agency is required to consider.

c. More often, negotiations arise as a result of management proposed changes to bargaining unit employees' conditions of employment (e.g., agency reorganization, the introduction of new equipment, etc.) that are not addressed in the parties' negotiated agreement or where there is no current agreement. If management is exercising one of its retained statutory rights (para 17-4a), the union and management may work out the procedures and arrangements for dealing with the effect a management decision has upon employees. This is commonly referred to as "impact and implementation" bargaining. The union can make proposals that are designed to reduce the negative impact of the change on affected employees. Some management proposed changes are substantively bargainable. In other words, the union can negotiate the decision to make the change. Agreements reached through this process are often codified as memorandums of understanding (MOUs). They can also be appendixes to the contract or stand alone agreements.

#### 12-8. Past Practice.

a. A past practice is defined as an existing practice sanctioned by use and acceptance, which is not specifically included in the collective bargaining agreement. For a past practice to be found, the practice must be a condition of employment that has been consistently practiced over an extended period of time with management's knowledge and the express or implied consent of management.

b. If a past practice is found to exist, it is binding on all parties. Neither management nor the union may change the past practice until the other party is given an opportunity to bargain. One exception to this is if the past practice is illegal. In that case, the practice must be stopped immediately. The union must be given notice of the change and the reason for its immediate termination.

#### 12-9. Examination of Employees (Weingarten Meetings).

a. The law provides that the union has the right to represent employees in meetings with management when the employee is being examined in connection with an investigation. These conversations are usually referred to as investigative or Weingarten meetings.

b. The name Weingarten is based on a Supreme Court decision. The Court decided that in situations where an employee is being questioned by a management representative and reasonably fears that discipline may be taken, the employee is entitled to the help of a union representative if he or she asks for such assistance.

c. Management is not obligated to inform employees of their Weingarten rights before questioning them. If an employee should request a union representative during a meeting, the supervisor should discontinue the meeting. At that point, the supervisor may postpone the meeting to allow the employee to contact the union. The supervisor may also give the employee the choice of having no interview or having an interview unaccompanied by a representative. If the union attends the meeting, it must be allowed to make relevant comments but cannot disrupt the meeting nor can it answer the questions posed to the employee.

#### 12-10. Federal Labor Relations Authority (FLRA).

a. FLRA is the agency responsible for administering the program, performing the "third party" functions as an independent and neutral body. Modeled on the National Labor Relations Board, which administers private-sector labor relations, the FLRA interprets and enforces the Federal Service Labor-Management Relations Statute. It ensures compliance with the statutory rights and obligations of federal employees and the labor organizations that represent them in their dealing with federal agencies.

b. The FLRA has a General Counsel who is appointed by the President with the advice and consent of the Senate for a term of five years. The General Counsel is responsible for investigating alleged unfair labor practices, filing and prosecuting unfair labor practice complaints, and processing representation petitions. The general counsel's decision to sustain a regional director's dismissal of an unfair labor practice charge is final. The President can remove the General Counsel from office at any time. .

c. The Federal Service Impasses Panel is an entity within the FLRA. The role of the Panel is to provide assistance to federal agencies and unions in resolving impasses arising from negotiations over conditions of employment. If mediation between the parties is unsuccessful, the Panel has the authority to recommend procedures, such as arbitration, for the resolution of the impasse. It also provides direct assistance to the parties through fact-finding, written submissions, or other methods it deems appropriate. If these efforts do not lead to a settlement, the Panel may take whatever action is necessary to resolve the issue. Such final action is binding on the parties during the term of their agreement unless they agree otherwise.

#### 12-11. Unfair Labor Practices.

a. An unfair labor practice (ULP) is normally a violation of the Federal Service Labor-Management Relations Statute. An employee, the union or management, can file a ULP charge. The vast majority of ULP charges are filed by the union against management. The reason for this is that management is usually the party that takes the action. Management takes the disciplinary actions, it reorganizes, it makes changes to conditions of employment, etc. If it does so in violation of the Statute, it commits a ULP.

b. Unfair labor charges are filed with the General Counsel of FLRA. The General Counsel investigates the charge to determine if there is sufficient evidence to warrant issuing a complaint. If a complaint is issued, a hearing is set and the parties go before administrative laws judge (ALJ) with the General Counsel prosecuting. The ALJ will issue a decision either in finding that a ULP was committed or dismissing the complaint. If either part is not satisfied with the decision, the case can be appealed to the FLRA.

c. If the agency is found to have committed a ULP, various remedies can be assigned. The most common is a posting, signed by the Commander, stating that he or she committed a ULP and that he or she won't do it again. The FLRA may also order the reversal of the management action that caused the ULP. This is called a status quo

ante remedy.

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## CHAPTER 13

### PERFORMANCE MANAGEMENT

#### 13-1. References.

5 CFR 430, Performance Management

DoD 1400.25-M, Civilian Personnel Manual, Chapter 43, Personnel Management

Army Regulation 690-400, Employee Performance and Utilization, Chapter 4302, Total Army Performance Evaluation System

Army Regulation 672-20, Decorations, Awards, and Honors

13-2. Background. Performance management is the systematic process of integrating performance, pay and awards systems to improve individual and organizational effectiveness in the accomplishment of Army mission and goals. The performance management process includes five phases:

a. Planning performance and assigning work. Planning involves setting performance expectations and goals for groups and individuals to channel their efforts toward achieving organizational objectives. Getting employees involved in the planning process will help them understand the goals of the organization, what needs to be done, why it needs to be done, and how well it should be done.

b. Monitoring performance. Managers see to it that assignments and projects are monitored continuously. Effective monitoring means consistently measuring performance and providing ongoing feedback to employees and work groups on their progress toward reaching their goals.

c. Developing performance. Developing involves increasing an employee's capacity to perform the duties of his or her position. This is achieved through training, giving assignments and introducing new skills or higher levels of responsibility, improving work processes, or other methods. Providing employees with training and developmental opportunities encourages good performance, strengthens job-related skills and competencies and helps employees keep up with changes in the workplace, such as the introduction of new technology.

d. Appraising performance. An effective manager will, from time to time, find it useful to summarize employee performance. This helps the manager look at and compare performance over time or across a set of

employees. Within the context of formal performance appraisal requirements, rating means evaluating employee or group performance against the elements and standards in an employee's performance plan and assigning a summary rating of record.

e. Rewarding performance. Rewarding means recognizing employees, individually and as members of groups, for their performance and acknowledging their contributions to the mission.

13-3. Responsibilities. Managers, Supervisors, Team Leaders and employees are separately and collectively responsible for individual, team and organizational performance and for creating a work culture and environment that promotes a high-performance, high-involvement organization.

#### 13-4. Total Army Performance Evaluation System (TAPES).

a. According to performance management regulations issued by the Office of Personnel Management, Federal employees are subject to periodic appraisals of their job performance. The Army's system for planning and appraising performance, called TAPES, is designed to improve total Army performance by:

(1) Communicating organizational goals and priorities, and Army values and ethics to employees.

(2) Establishing individual expectations for performance that reflect organizational goals and priorities.

(3) Facilitating frequent discussion among the Ratee and the rating chain about performance, expectations, professional development, and DA values and ethics.

(4) Requiring annual written individual performance evaluations that provide supervisors and managers with tools for systematic assessment of performance results achieved to make sound plans and decisions concerning compensation, training, rewards, reassignments, promotions, reductions in grade, retention, reductions in force, and removal.

b. TAPES should be viewed as a two-phase process. The first phase is the setting of performance expectations. This is accomplished through the development of performance plans within 30 days of the beginning of the rating cycle. The plans let the employees know what they are going to be rated on and the standard of performance they must meet to be satisfactory. The second phase is the formal evaluation or assessment that is conducted at the end of a rating period, normally on an annual basis.

c. TAPES requires that employees be given written objectives and responsibilities at the beginning of the rating period. Performance objectives and/or responsibilities describe the actual work elements to be performed during the current appraisal period. They describe a major job component upon which an employee is rated for success.

d. The performance appraisal can have an impact on a wide variety of personnel and employment decisions affecting federal workers. Performance evaluation and ratings are part of the overall personnel administration and management program including the related functions discussed below:

(1) Merit Promotion Plan. Candidates must have a current performance rating of at least Successful Level 3 in order to be eligible for merit promotion. When candidates do not have a current performance rating, a Level 3 may be presumed as long as there is no known adverse performance information.

(2) Training. When the appraisal process discloses a need for training that cannot be met on the job or through self-development, action should be taken to meet such needs.

(3) Within-Grade Increases. If an employee's most recent rating of record is below Successful Level 3, the supervisor is required to deny the employee's within-grade increase.

(4) Reduction-In- Force. Performance ratings of Successful Level 1, Level 2, and Level 3 result in additional years of service credited for RIF purposes. The additional service credit for performance is determined by averaging the last three annual performance ratings received during the 4-year prior to the date the agency issued RIF notices. The 4-year period is the earlier of the date the agency issues RIF notices, or the date the agency freezes ratings before issuing RIF notices.

e. Employees within the American Federation of Government Employees (AFGE), Local 1904, can file a grievance in accordance with the Procedures for Grievances Involving Overall Performance Ratings of Successful Level 3 or Higher. Employees outside AFGE's bargaining unit or who have received a performance appraisal of less than Level 3 can file a grievance in accordance with DoD Civilian Personnel Manual, Subchapter 711, Administrative Grievance System.

f. An introduction and brief explanation of TAPES procedures may be found in DA Pamphlet No. 690-400, Chapter 4302, "TAPES". The electronic version of the guide may be found in the Army CPOL Library:  
<http://www.cpol.army.mil/library>

g. Unacceptable Performance. Under TAPES, all objectives and responsibilities are "critical". At any time during the rating period that an employee's performance fails to meet an acceptable level of performance on one or more of the objectives and/or responsibilities, the supervisor must inform the employee of the objectives and/or responsibilities in which performance is unacceptable, in what way it is unacceptable, and exactly what is required to bring it up to the "success" level. The employee must be provided with a reasonable opportunity period (usually 90 to 120 days) to demonstrate acceptable performance. That opportunity process, for employees who are not in a probationary or trial period, takes the form of a Performance Improvement Plan (PIP). The PIP is a formal document that needs to be developed with the assistance of your servicing personnel management specialist.

PIPs are corrective in nature. They are designed to help the employee improve his or her performance to a satisfactory level. Many actions may be taken to help the employee including: closer supervision and counseling; personal task accomplishment demonstration or on-the-job training; supervisory or peer coaching; frequent feedback; special assignments; and formal training. If the employee's performance improves during the opportunity period, no further action is required. The employee must maintain successful performance for at least one year after the PIP. If the employee's performance does not improve, the supervisor needs to take a performance-based action.

h. Employee Assistance Program (EAP). The cause of the employee's poor performance may be personal in nature (i.e., illness, disability, substance abuse, personality conflict, family problems, etc.). Fort Monmouth has an Employee Assistance Program whose goal is to restore employees to full productivity. More specifically, the EAP provides free, confidential short term counseling to identify the employee's problem and, when appropriate, make a referral to an outside organization, facility, or program that can assist the employee in resolving his or her problem. The supervisor needs to offer the employee use of the program, however, participation in the EAP is voluntary and it is the employee's decision to participate or not.

i. Performance Based Actions. If the employee's performance continues to be unacceptable in one or more objective/responsibility after the opportunity to improve has expired, the supervisor should take appropriate action. Such actions include demoting or reassigning the employee to a position the employee can successfully perform, or removing the employee from Federal service. Employees so affected are entitled to 30 days advance written notice that identifies the specific instances of unacceptable performance and the

objectives/responsibilities involved in each instance. The unacceptable performance must have occurred during the one-year period that ends on the date of the proposed notice. The employee is also entitled to the following: (1) to be represented by an attorney or other representative; (2) a reasonable time to answer orally and in writing; and (3) a written decision within 30 days after the expiration of the notice period.

Guidance and assistance for taking such actions is available from your servicing personnel management specialist.

j. Employees who are subject to change to lower grade or removal from the Federal service have the right to appeal to the U.S. Merit Systems Protection Board (MSPB) based on the nature of their appointment and the type of position occupied. Employees represented by unions may elect to file a grievance under the negotiated grievance procedure rather than appeal to MSPB, but not both.

The MSPB is an independent, quasi-judicial agency in the executive branch that serves as the guardian of federal merit systems. The board's mission is to ensure that federal employees are protected against abuses by agency management, that executive branch agencies make employment decisions in accordance with the merit system principles, and that federal merit systems are kept free of prohibited personnel practices. MSPB members are appointed by the President, confirmed by the Senate, and serve overlapping, non-renewable, seven-year terms.

The agency has the burden of proving that it was justified in taking the action being appealed. The burden is substantial evidence which means that degree of evidence a reasonable person might rely upon in resolving a fact in dispute. This is a lesser burden than the "preponderance of the evidence" burden is conduct actions. The appellant has the burden of proving that the appeal is within the board's jurisdiction and that it was timely filed.

The board's decision on a petition for review constitutes final administrative action. Further appeal then may be available in the United States Court of Appeals for Federal Circuit or, in cases involving allegations of discrimination, with a U.S. District Court or the Equal Employment Opportunity Commission.

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## CHAPTER 14

### INCENTIVE AWARDS

#### 14-1. References.

5 CFR 431, Awards  
Army Regulation 670-20, Incentive Awards  
CECOM Worldwide Incentive Awards Policy #98-30

14-2. Background.

a. The goal of the Incentive Awards Program is to foster mission accomplishment by recognizing superior performance and accomplishments and to motivate employees to high levels of performance. Incentive awards are not mandatory and are not an entitlement, but managers are encouraged to recognize employees' exemplary accomplishments through use of the Incentive Awards Program.

b. It is CECOM's policy to recognize outstanding achievements in a fair and equitable manner. Selection of employees for awards will be made solely on the basis of merit without regard to race, color, religion, political, or other affiliation, marital status, sex, age, or national origin.

c. The same act or service cannot serve as the basis for more than one monetary award. However, a monetary and honorary award may be given to civilian employees for the same act or achievement if the criteria for each award are met and the CEAC principal's approval is obtained.

14-3. Responsibilities.

a. Supervisors play a vital role in recognizing employee achievements. Appropriate recognition is one of the major incentives contributing to productivity and high morale in the work force. It also is one of the major personnel management responsibilities of all the supervisors. It is imperative, therefore, that all supervisors be fully informed about the awards program.

b. The CECOM Deputy Chief of Staff for Personnel maintains administrative control over the incentive awards program, both honorary and monetary. DCSPER provides advice and assistance to the Commanding General and all managers and supervisors on the overall awards program.

14-4. Contractors. Employees of outside contractors may not receive direct payments from the Federal Government. Their employment, including pay, rewards, and discipline, must be handled by their employer, who is the contractor, not the Government.

14-5. Appropriate Use of Awards. The granting of awards should be considered judiciously by managers, especially in the area of performance awards, in order to avoid giving the impression that it is an

employee's entitlement. Awards should only be granted where fully deserved, to those who meet the criteria, and with full explanation as to the accomplishments being recognized. In this way, you will maintain employees' confidence in the value and integrity of awards granted in your organization.

14-6. Types of Recognition. There are three forms of awards that can be given to Federal employees: monetary, honorary, and time-off. All can serve as motivation to the recipients and other employees.

14-7. Monetary Awards.

a. Quality Step Increase (QSI)

(1) A Quality Step Increase (QSI) must be based on the highest quality of performance that a supervisor may certify: in our particular case a Successful Level 1 rating. This level of performance must be expected to continue in the future.

(2) A QSI has the same effect on the employee's salary as a within-grade-increase (WGI) in that it moves the employee from one step of his or her grade to the next higher step. QSIs increase employee's salary costs for the subsequent fiscal year, therefore judgment should be exercised to ensure that only the "top" performers are recommended for this award.

(3) An employee may receive only one QSI in any 52-week period.

b. Performance Award:

(1) The Performance Award is a monetary award given in recognition of high level performance for a specific rating period. Employees rated with Successful Levels 1, 2, or 3 (with at least one responsibility/objective exceeded) are eligible. Performance awards are computed as a percentage of pay with a maximum award of 10% of the employee's rate of basic pay.

(2) Performance awards are used to reward past performance and as an incentive to stimulate future high-level performance of the awardees and their peers. Generally, within the same organizational element, employees with higher ratings should receive larger dollar awards than employees at the same grade level who have lesser ratings.

c. Special Act or Service Award.

(1) A Special Act or Service Award is a cash award given in recognition of a one-time meritorious personal effort, act, service, or other achievement accomplished within or outside job responsibilities.

(2) Use of the Special Act or Service Award offers a unique opportunity for managers to relate the size of the award to the value of the contribution. This award is particularly appropriate to recognize short-term accomplishments in a regularly assigned position, during a detail, at the conclusion of a successful special project, and when performance or honorary awards are not appropriate.

14-8. Time-Off Awards. In accordance with CECOM policy, employees may be granted up to 24 hours of time off during a fiscal year without charge to leave or loss of pay as an award for achievements or performance contributing to the Army mission. It must be scheduled and used within one year of the approval date.

#### 14-9. Honorary Awards

a. Honorary awards are generally symbolic and usually do not use monetary recognition at all. They are a gesture of respect given to employees to recognize their performance and value to the organization. The Army includes this traditional form of high-level, formal recognition as part of the overall incentive awards programs.

b. The awards program has as its capstone a parallel hierarchy of five military and five civilian medals (Decoration for Exceptional Civilian Service, Meritorious Civilian Service Medal, Superior Civilian Service Medal, Commander's Award for Civilian Service and the Achievement Medal for Civilian Service). The various forms of honorary recognition are available for management officials to acknowledge high levels of performance, outstanding contributions, and other notable achievements.

c. Honorary awards may be given to civilian employees at any time in their careers, including occasions such as retirement, resignation, transfer, or separation providing the individual's accomplishments fully meet the criteria for the detailed information. For planning consideration, honorary awards should be given no sooner than 3 years from a previous honorary award, except in extraordinary cases.

d. Detailed descriptions of the different awards and the award criteria may be found in Army's Civilian Personnel On-Line PERMISS web site: <http://www.cpol.army.mil>

### 15-1. References.

5 CFR 630, Absence and Leave

Fort Monmouth Regulation 690-630, Leave of Civilian Personnel, dated  
18 Jan  
2000

15-2. Background. Leave entitlements are an important part of the total compensation package for federal employees. Employees earn annual leave and sick leave based upon the type of their appointment and the number of hours they work each week. This leave entitles them to take time off from work with pay for illness, vacation or personal matters. In addition, employees are eligible for other forms of leave, such as military and court leave.

### 15-3. Responsibilities.

a. Supervisors are responsible for ensuring employees are at their duty station during prescribed duty hours, and properly accounting for their absence. Supervisors must consider both the welfare of the employee and the Department of the Army's need for the employee's services when making decisions about granting requested leave.

b. When employees wish to take time away from work, whether with or without pay, they are responsible for notifying their supervisor who will approve or deny the request for leave. In cases of illness, employee needs to notify his or her supervisor as soon as practical each day of the absence (generally within 2 hours after the beginning of his or her workday).

### 15-4. Charges to Leave.

a. In cases where the employee does not have sufficient annual leave available to cover the leave taken, the excess absence is charged first to compensatory time, if any, then to Leave Without Pay (LWOP). When employees do not have sufficient sick leave available the pay system will automatically charge the excess to any annual leave, then to compensatory time, if any, and finally to leave without pay.

b. The minimum charge for sick leave, annual leave, or Absence without Leave (AWOL) is 15 minutes. Additional leave is charged in multiples of 15 minutes.

### 15-5. Advanced Leave.

a. Under certain circumstances, amounts of annual or sick leave may be granted to employees before they have earned it. Annual leave may be advanced only in an amount that does not exceed the leave the

employee can be expected to accrue by the end of the leave year. Sick leave, not to exceed 30 days, may be advanced to employees in cases where a worker experiences a serious disability or ailment.

b. The granting of leave to an employee who doesn't have enough accrued leave to cover an absence is done only after careful consideration. Advances of leave should be limited to deserving cases under emergency conditions or cases of various disabilities or ailments.

c. Employees should be told that such advances are considered a cash loan that must be repaid by crediting future accruals or if they leave the service (except by death or disability) in cash, at the rate paid for period of indebtedness. If repayment is not made, the employee's retirement account will be attached or other action may be taken to recover the amount of indebtedness.

#### 15-6. Excused Absences.

a. An excused absence is an administratively authorized absence from duty without loss of pay and without charge to leave. Comptroller General decisions establish some parameters for use of excused absence. They limit the approving official's discretion to situations involving brief absences. Where absences are for longer than brief periods, excused absence is inappropriate unless absence is clearly in connection with furthering a function of the Department of the Army. Refer to Fort Monmouth Regulation 690-630, Leave and Attendance, Chapter 8 (Excused Absence) for a detailed explanation of the appropriate use of excused leave.

b. Supervisors may excuse employees for unavoidable absences of less than one hour if the employee has reasons acceptable to the supervisor. If the reasons are not acceptable, the supervisor may charge the employee AWOL, or allow the employee to take leave. When the supervisor chooses either of these options, the supervisor may not require the employee to perform work for any part of the leave period.

15-7. Leave Year. The leave year is the period beginning with the first complete biweekly pay period of the calendar year and ending immediately before the beginning of first complete biweekly pay period in the next calendar year. The leave year normally will consist of 26 biweekly pay periods.

#### 15-8. Annual Leave.

a. Although annual leave is the right of an employee in that its accrual may not be denied, it is the prerogative of management to make the final decision on when annual leave is to be used. For this reason the

use of annual leave is subject to the prior approval of the supervisor. Retroactive approval may be given when circumstances warrant. It must not be assumed, however, that a mere report of absence will necessarily result in favorable action. Failure to get the proper approval may result in the period being charged to Leave Without Pay (LWOP) or Absent Without Leave (AWOL).

b. All full-time and part-time employees appointed for 90 days or more earn annual leave. Annual leave may be granted as of the first day of employment if the appointment is for 90 days or longer. An employee whose initial appointment is for less than 90 days, but whose appointment is extended beyond that time period, is entitled to annual leave after being employed for a continuous period of 90 days under successive appointments without a break in service.

c. Annual leave is earned on the basis of years of federal service, including creditable military service. Annual leave accrual is credited to employees on completion of the first full pay period and thereafter at the end of the biweekly pay period in which it is earned.

(1) Category "4". Employees with less than 3 years creditable service accrue 4 hours annual leave per biweekly pay period (13 days per year).

(2) Category "6". Employees with 3 but less than 15 years creditable service accrue 6 hours annual leave each biweekly pay period, and 10 hours for the last pay period in the leave year (20 days per year).

(3) Category "8". Employees with 15 years or more creditable service accrue 8 hours annual leave each biweekly pay period (26 days per year).

(4) Part-time employees. Part-time employees must have a regularly scheduled tour of duty on at least 1 day of each week in the pay period. Part-time employees with less than 3 years service earn 1 hour of annual leave for each 20 hours in a pay status; with 3 but less than 15 years, 1 hour for each 13 hours in a pay status; with 15 years or more, 1 hour of annual leave is earned for each 10 hours in a pay status.

d. Annual leave accrued to an employee's credit and not used during the leave year may be accumulated from year to year, subject to the prescribed limitations. The maximum accumulation of annual leave normally is 30 days (240 hours).

e. Employees forfeit any leave to their credit at the end of the leave year that exceeds the 30-day (240 hour) limit. Agencies may restore annual leave that would be lost if the agency determines that an exigency (work situation requiring immediate action) of the service exists, if the

employee is ill or if the agency makes an administrative error that causes the loss of annual leave otherwise accruable. Leave restoration in these instances is only possible if the leave was scheduled in advance. The leave must be scheduled and approved in writing before the start of the third pay period before the end of the leave year. Employees must use their restored leave within two years after the end of the calendar year in which the leave is restored.

f. At separation, an employee is entitled to payment for all annual leave he or she has earned. This includes the regular carryover balances from the previous year, if any; the current leave year's unused leave; and, any unused restored leave that has not reached the two-year expiration date. In event of an employee's death, survivors are entitled to payment for all the annual leave credited to the employee at the time of death.

#### 15-9. Sick Leave

a. Sick leave is provided to ensure an employee does not lose pay because of illness, disabling injury, or for physical, dental, or optical examinations or treatment or, under certain conditions, care of a family member. These reasons are essential to an employee's physical well being and often prevent longer periods of absence.

b. Sick leave is earned and available for use from the first full biweekly pay period and is not affected by the length of service or type of appointment. Sick leave is charged in multiples of 15 minutes.

c. Full-time employees accumulate sick leave at the rate of 4 hours for each full biweekly pay period. This accrual will be credited for use at the end of the pay period. Part-time employees with an established tour of duty earn 1 hour of sick leave for each 20 hours in a pay status. Credit may not exceed 4 hours of sick leave for 80 hours in a pay status during any full biweekly pay period.

d. Sick leave accruing to an employee's credit and not used may accumulate from pay period to pay period and from year to year without restriction. Employees who leave federal service are not entitled to lump sum payments for unused sick leave. However, if workers are reemployed the amount of previously accumulated, unused sick leave is recredited to their accounts. Additionally, CSRS-covered employees may be entitled to count their unused sick leave as service credit time for retirement purposes.

e. Sick leave will be granted under the following conditions:

(1) When the employee or one of his or her family members has a medical, dental, or optical examination.

(2) When the employee cannot work because of a physical or mental illness, injury, pregnancy, or childbirth.

(3) When the employee arranges for or attends a family member's funeral or for bereavement purposes. Bereavement purposes include arranging for or attending a family member's funeral, traveling to the funeral, attending memorial services, pre-funeral gatherings, ceremonies, and the reading of the will.

(4) When the employee would jeopardize the health of others by his or her presence on the job because of exposure to a communicable disease. A communicable disease is one ruled by the local health authorities as subject to quarantine or requiring isolation or restriction of movement of the patient.

(5) When the employee adopts a child. Appointments with adoption agencies, social workers and attorneys, court proceedings; required travel and any other activities necessary to allow the adoption to proceed are covered. Employees cannot use sick leave to bond with the adopted child, unless it is necessitated by a court order.

(6) When the employee provides care for one of his or her family members who requires it because of physical or mental illness, injury, pregnancy, or childbirth.

(7) When an employee provides care for a family member with a serious health condition.

f. In cases of illness, employee will notify his or her supervisor as soon as practical each day of absence, but no later than 2 hours after the beginning of his or her tour of duty. Failure to give this notice may result in charge to annual leave, LWOP, or AWOL, as the circumstances justify.

g. If an illness or injury is to be of extended duration (usually over 3 days), the employee must furnish his or her supervisor a statement by a qualified physician establishing the duration of the absence.

h. The supervisor will determine if the nature of the employee's illness or injury is such as to incapacitate him/her for work or if a related event or circumstance warranting sick leave actually occurred; grant sick leave whenever an employee has a genuine basis for sick leave; and, unless there is a reason to doubt that the absence should be properly charged to sick leave, approve the absence at the time of notification.

i. For sick leave absences exceeding 30 workdays, and in any case when the employee's fitness to return to duty is questionable, refer the

employee, upon return to duty to the Occupational Health Clinic, Patterson Army Clinic, for a fitness for duty examination.

j. The Family Friendly Leave Act (FFLA) permits employees to use sick leave to care for a family member or for purposes relating to the death of a family member.

(1) The Act guarantees full-time the use of five days (40 hours) of sick leave each year to care for family members or bereavement purposes. In addition, the employees who maintain a balance of at least 80 hours of sick leave will be able to use an additional 64 hours per year for these purposes if needed. This brings the total amount of sick leave available for family care and bereavement purposes to a maximum of 104 hours (13 workdays) per year for employees who satisfy this condition.

(2) Employees may use a total of up to 12 weeks of sick leave each year to care for a family member with a serious health condition. Examples of a "serious health condition" include, but are not limited to, heart attacks, heart conditions requiring heart bypass or valve operations, cancers, back conditions requiring extensive therapy or surgical procedures, kidney dialysis, physical therapy, strokes, severe respiratory conditions, spinal injuries, appendicitis, pneumonia, emphysema, severe arthritis, severe nervous disorders, injuries caused by serious accidents on or off the job, clinical depression, recovery from major surgery, final stages of a terminal illness, and Alzheimer's disease. A "serious health condition" also includes ongoing pregnancy, miscarriages, complications or illnesses related to pregnancy (such as severe morning sickness), the need for prenatal care, childbirth, and recovery from childbirth. Although any employee may use an initial 40 hours of sick leave for family care purposes, employees must maintain a sick leave balance of 80 hours to use the full 12-weeks of sick leave.

(3) An employee is entitled to a total of 12 weeks sick leave each year for all family care purposes. If an employee previously has used any portion of the 13 days of sick leave for family care or bereavement purposes, that amount will be subtracted from the 12-week entitlement. If an employee has already used 12 weeks of sick leave to care for a family member with a serious health condition, he or she cannot use an additional 13 days in the same year for general family care purposes.

(4) The definition of "family member" includes a spouse, parents, spouse's parents, children, including adopted children and their spouses, brothers and sisters and their spouses, or any individual related by blood or affinity whose close association with the employee is equivalent to a family relationship.

(5) The FFLA also allows an employee to use sick leave for purposes relating to the adoption of a child. Sick leave is justified for an activity that is necessary to allow an adoption to proceed. For example, if an adoption agency or court orders or requires adoptive parent(s) to take a specific period of time off to bond with the child, sick leave can be granted. However, sick leave is not justified if adoptive parent(s) wish, on their own, to remain at home to bond with the child.

k. A supervisor must take appropriate corrective action for any unjustified absence, or any absence involving a proven false claim for sick leave. When it is determined that an absence is not properly chargeable to sick leave, charge the absence to annual leave or to LWOP; if it was not an authorized absence, to AWOL. When there is reason to believe that sick leave is being abused, have the employee get a medical certificate for any absence of less than 3 days. In such a case, the employee must be informed in writing and in advance that a medical certificate will be required for each future absence for sickness regardless of duration. Your servicing personnel management specialist should be contacted for assistance in preparing the advance notice.

#### 15-10. Leave Without Pay (LWOP).

a. LWOP is a temporary nonpay status and an authorized absence from duty. LWOP may be authorized when the employee has insufficient annual leave, sick leave, or compensatory time to cover an approved absence. An employee does not have to exhaust annual or sick leave before requesting LWOP. LWOP should only be granted when it is apparent that it will result in increased job ability, protection or improvement of employee's health, or retention of a desirable employee.

b. The Family and Medical Leave Act allows federal employees to take up to 12 administrative workweeks of unpaid leave (or a combination of annual, sick, and unpaid leave) during any 12-month period for the following purposes:

(1) Birth of a child and care of a newborn (in these instances, the employee's entitlement to leave expires 12 months from the date of the birth),

(2) Adoption or foster care,

(3) Care for a spouse, child, or parent with a serious health condition, and

(4) Serious health condition that makes the employee unable to perform the duties of his or her position.

Employees must have completed at least one year of civilian service to

be eligible. Temporary and intermittent employees are excluded from the coverage. Upon returning from leave, an employee is entitled to be restored to the same or an equivalent position he or she held when the leave began.

#### 15-11. Absent Without Leave (AWOL).

a. When an employee is AWOL, he or she is in a nonpay status (chargeable in multiples of 15 minutes), resulting from a determination by the immediate supervisor not to grant any type of leave, including LWOP, for a period of absence for which the employee did not obtain advance authorization or for which the employee's request for leave on the basis of alleged sickness has been denied.

b. Recording an absence as AWOL is not a disciplinary action. It does not mean that the employee had insufficient reason for requesting leave, but rather the employee's presence is required at work, and the reason for requesting leave is one for which approval is not mandatory.

c. On the other hand, failure to request leave according to established procedures or failure to honor a valid denial of a leave request may be used as the basis for taking disciplinary/adverse action. Repeated incidences of unauthorized absence may also be basis for disciplinary actions. Supervisors should contact their servicing personnel management specialist for guidance in initiating disciplinary action due to repeated unauthorized absences.

d. When it is administratively determined the absence without approved leave is excusable because of extenuating circumstances; it may be charged to an appropriate type of approved leave.

#### 15-12. Voluntary Leave Transfer Program.

a. The Voluntary Leave Transfer Program allows an employee who has a personal emergency to receive transferred annual leave directly from other employees. A personal emergency is defined as a medical condition or family emergency or other hardship situation that is expected to require an employee's absence from duty for a prolonged period of time and result in a substantial loss of income. A substantial loss of income consists of 24 hours of unpaid absence, excluding advanced annual and sick leave.

b. A first level official superior or supervisor is prohibited from receiving donated leave from a subordinate employee.

c. Supervisors must endorse and/or approve both employee applications to become leave recipients and employee applications to become leave donors.

### 15-13. Military Leave

- a. Military leave is absence from a civilian position without loss in pay, time, or performance rating for active duty, active duty training, or inactive duty training, and necessary travel. Eligible employees must be a member of a Reserve or National Guard component; on a full-time or part-time work schedule, or an indefinite employee who does not have an intermittent work schedule; and be serving in an appointment that is not limited to one year or less.
- b. An eligible employee accrues 15 days military leave (pro-rated for part-time employees) each fiscal year. The military leave (not to exceed 15 days) which is unused at the beginning of the succeeding fiscal year is carried forward for use in addition to the days that are credited at the beginning of the fiscal year.
- c. Military leave is charged in 1 hour increments only for those hours an employee would ordinarily work.
- d. The policy of DA is to extend full cooperation in all reserve duty training insofar as practicable. When authorization of military leave is not appropriate, annual leave or LWOP, as necessary, will be authorized for this purpose.

### 15-14. Court Leave

- a. Court leave is an authorized absence from duty without charge to annual leave or loss of compensation, for the purpose of attending court for jury duty or to serve in a nonofficial capacity on behalf of a state or local government. The court may be a Federal, State, municipal, District of Columbia, or military court.
- b. The term “judicial proceeding” contemplates any action, suit, or other proceeding of a judicial nature (including any condemnation, preliminary, informational, or other proceeding), but does not include an administrative proceeding.
- c. The DA considers it the civic responsibility of all its employees to respond to calls for jury or other court service.
- d. Not every appearance in court is considered as Court Leave. Refer to FM Regulation 690-630, Chapter 7, for a detailed explanation.
- e. The term “fees” as used in connection with court service covers all amounts payable by the court to a witness or juror, whether in the form of per diem or attendance or per diem in lieu of subsistence. The term does not cover actual and necessary expenses incident to the court services. When the employee is reimbursed for such travel expenses,

the compensation may be retained.

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## CHAPTER 16

### INJURY COMPENSATION

#### 16-1. References.

Federal Employees' Compensation Act  
Code of Federal Regulations, Chapter 20, Employees' Benefits  
DoD Directive 1400.25, Civilian Personnel Manual

#### 16-2. Background.

a. The Federal Employees' Compensation Act (FECA) provides compensation benefits to civilian employees of the United States for disability due to a traumatic injury or an occupational illness/disease sustained while in the performance of duty. The FECA also provides for the payment of benefits to dependents if a work-related injury or illness/disease causes an employee's death. The Office of Workers' Compensation Programs (OWCP) is an office within the Department of Labor (DOL) that administers FECA.

b. FECA is financed by the Employees' Compensation Fund, which consists of funds appropriated by Congress through a "chargeback" to the various agencies. Each year the Secretary of Labor furnishes the Army a statement of payments from the fund for Army employees, the costs of which are charged to the installation level. The Army includes FECA costs in its budget requests and the resulting sums appropriated are deposited in the fund.

c. Benefits cannot be paid if the injury or death is caused by the willful misconduct of the employee or by the employee's intention to bring about his or her injury or death or that of another, or if intoxication (by alcohol or drugs) is the proximate cause of the injury or death.

#### 16-3. Responsibilities.

a. Supervisors are responsible, to the extent of their authority, for providing employees a place of employment free from recognized hazards that are causing or are likely to cause death or serious physical harm. They must comply with and enforce applicable safety and health policies and procedures. All supervisory personnel, both military and civilian, will assist the activity commander in promoting the Army Safety Program by supporting safety activities and working to reduce accidents

and health hazards. Specifically, supervisors will:

(1) Create a culture of safety consciousness;

(2) Make sure the employee gets medical treatment for the injury and understands that a CA-1 or CA-2 must be completed;

(3) Complete the supervisor's portion of the CA-1 or CA-2. The supervisor should investigate the causes of the accident and initiate corrective measures to avoid future accidents. Note: If the supervisor has reason to disagree with any particulars of the injury as reported by the employee, this is the supervisor's opportunity to explain the areas of disagreement and the findings upon which the document is based.

(4) The supervisor is responsible for maintaining contact with an injured employee. The purpose of maintaining regular contact is to keep advised of the employee's recuperation and plans for returning to work. At a minimum contact should be made every two weeks and a record of the contact should be maintained.

(5) The supervisor should maintain a positive attitude with the employee. It is important the injured employee understands that you care and want him/her to return to duty as quickly as medically possible.

(6) The supervisor is responsible for developing light duty, modified work or alternative work assignments. The purpose is to accommodate an injured employee who may be temporarily and, in some cases, permanently unable to perform their regular functions. The longer an employee is not working, the harder it is to maintain the discipline of going to work every day. Remember, when developing a light duty position, the duties must be within the restrictions imposed by the treating physician. In cases where the duties cannot be modified, the supervisor should work closely with his or her servicing personnel management specialist to determine if other positions are available.

b. The employee (or someone acting on the employee's behalf) must provide medical and factual evidence to establish the essential elements of a claim. These elements generally include proof that the claim was filed within FECA's statutory time requirements, the injured or deceased person was an employee within the meaning of the FECA, the employee sustained an injury or disease, the employee was in the performance of duty when the injury occurred, and the employee's compensable condition resulted from the injury.

c. The DCSPER administers the Injury Compensation Program (ICP) and acts as liaison between supervisors, employees, and the OWCP. The Army Civilian Injury Compensation Program is based on FECA.

#### 16-4. Definitions.

- a. A traumatic injury is defined as a wound or other condition of the body caused by external force, including stress or strain. The injury must be caused by a specific event or incident or series of events or incidents within a single day or work shift.
- b. An occupational disease is defined as a condition produced in the work environment over a period longer than one workday or shift. It may result from systemic infection, repeated stress or strain, exposure to toxins, poisons, fumes or other continuing conditions of the work environment.

#### 16-5. Filing a Claim.

- a. An employee (or someone acting on the employee's behalf) must submit a CA-1, Federal Employee's Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation within 30 days of a traumatic injury. The forms serve as the report to OWCP when the employee has sustained a traumatic injury that is likely to result in a medical charge against the compensation fund and the employee loses time from work on any day following the injury date. This form is required if disability for work may subsequently occur; permanent impairment appears likely; or serious disfigurement of the face, head, or neck is likely to result.
- b. An employee (or someone acting on the employee's behalf) must submit a CA-2, Federal Employee's Notice of Occupational Disease and Claim for Compensation within 30 days of a traumatic injury. The form serves as the report to OWCP when the employee has an occupational disease that is likely to result in a medical charge against the compensation fund and the employee loses time from work on any day following the injury date.
- c. Form CA-16, Authorization for Examination and/or Treatment, authorizes an injured employee to obtain examination and/or treatment for up to 60 days and provides OWCP with an initial medical report.

16-6. Medical Benefits. An employee is entitled to medical, surgical and hospital services and supplies needed for treatment of an injury, as well as transportation for obtaining care. The injured employee has initial choice of physician and may select any qualified local physician or hospital to provide necessary treatment. Except for referral by the attending physician, any change in treating physician after the initial choice must be authorized by the OWCP.

#### 16-7. Continuation of Pay (COP).

An employee who sustains a disabling, job-related traumatic injury may request continuation of regular pay for the period of disability not to exceed 45 calendar days, sick, or annual leave. Full-time, part-time, temporary, and intermittent employees are eligible for COP. Absences in excess of 45 calendar days are charged to sick leave, annual leave, or leave without pay (LWOP).

#### 16-8. FECA Compensation.

a. FECA Compensation generally is calculated as two-thirds of the employee's monthly pay rate if he or she has no dependents, or three-fourths of the pay rate if married or with one or more dependents. FECA's maximum monthly compensation payments cannot exceed three-fourths of the highest basic monthly pay level for GS-15. Minimum monthly compensation for total disability cannot be less than three-fourths of the lowest basic monthly pay level for GS-2.

b. FECA also provides a schedule of benefits for permanent impairment of certain members, functions, and organs of the body, such as the eye, arm, kidney and for serious disfigurement of the head, face, or neck. For example, an award of 160 weeks of compensation is payable for total loss of vision in one eye.

c. OWCP may arrange for vocational rehabilitation and provide a monthly maintenance allowance. A disabled employee participating in an OWCP-approved training or vocational rehabilitation program is paid at the compensation rate for total disability.

d. In the event a FECA compensation recipient dies, the individual's surviving spouse and dependents may qualify for monthly compensation benefits. If no child is eligible for benefits, the widow or widower's compensation is 50 percent of the employee's pay at the time of death, provided death was due to the employment-related injury or disease. If a child or children are eligible for benefits, the widow or widower is entitled to 45 percent of the pay and each child is entitled to 15 percent.

#### 16-9. Recovery and Job Restoration.

a. OWCP requires most individuals receiving FECA disability benefits to undergo medical examinations once a year. The evaluation usually is done by the employee's own physician. FECA compensation will be terminated if medical evidence submitted indicates that the employee no longer has residual limitations from the accepted condition and can return to the former job without limitation; or the individual's employer makes a suitable job offer which is unreasonably refused by the employee. OWCP determines both the suitability of the job offer and reasonableness of a worker's refusal.

b. The restoration rights of employees who sustain compensable injuries fall into four separate categories depending on the length and extent of recovery.

(1) Fully recovered within one year. These employees have mandatory restoration rights to their former job or an equivalent position.

(2) Fully recovered after one year. If full recovery takes longer than one year from the date compensation begins, injured employees are entitled to priority consideration for their former position or an equivalent one, provided they apply for restoration rights within 30 days of the date compensation ends. Priority consideration means the agency enters the individual on its Reemployment Priority List.

(3) Physically disqualified. Employees who are medically unable to return to their former position, but who are able to do other work, are considered to be physically disqualified. Such individuals are entitled, within one year of the date compensation begins, to be placed in a position that most closely approximates the seniority, status, and pay to which they otherwise would have been entitled. After one year, the employee is entitled to the same restoration rights as those who fall into the “partially recovered” category described below.

(4) Partially recovered. These employees have not fully recovered, but are expected to fully recover eventually. The agency must make every effort to place the employee, but there is no absolute right to restoration. If the individual is restored at a lower grade or pay level, OWCP will make up the difference in pay, or the agency may elect to pay the employee at the former rate. When the employee fully recovers, he or she is entitled to the restoration rights of a fully recovered employee, based on the timing of the recovery.

16-10. Appeal Rights. An employee or survivor who disagrees with a final determination of OWCP may request an oral hearing or a review of the written record from the Branch of Hearings and Review. Oral and/or written evidence in further support of the claim may be presented. The employee may also request a reconsideration of a decision by submitting a written request to the District Office that issued the decision. The request must be accompanied by evidence not previously submitted. If reconsideration has been requested, a hearing on the same issue may not be granted. The employee or survivor may also request a review by the Employees’ Compensation Appeals Board (ECAB). Because the ECAB rules solely on the evidence of record at the time the decision was issued, no additional evidence may be presented.

16-11. Penalties for Fraud.

a. An employee who knowingly makes or knowingly certifies to any false statement, misrepresentation, concealment of fact or any other act of fraud with respect to a claim under FECA, or who knowingly accepts compensation to which that person is not entitled, is subject to criminal prosecution.

b. Any employee, beneficiary, official superior, representative, or other person who, with respect to a claim under FECA, enters into any agreement, combination or conspiracy to defraud the United States by obtaining or aiding to obtain the payment or allowance of any false, fictitious or fraudulent claim is subject to criminal prosecution.

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## CHAPTER 17

### CAREER PROGRAMS

#### 17-1. References.

AR 690-950, Career Management

Department of Army Pamphlet 69-43, A Supervisor's Guide to Career Development And Counseling For Career Program Employees

Department of Army Pamphlet 690-950, Career Program Registration and Administration

#### 17-2. Background.

a. The Army career management system meets Army staffing needs in professional, technical, and administrative jobs through the use of career programs (CP). Career Programs have two objectives -- to provide a source of qualified personnel at all grade levels and to provide training assignments and promotional opportunities to CP employees.

b. Entry into a career field is primarily through an intern program, although some individuals may, on the basis of education and experience, enter a field at higher levels. All career programs have established Career Intern Programs. The Career Intern Program is competitive and is designed to prepare employees in various occupations for subsequent advancement in professional, administrative, and technological fields. The program forms the feeder group for future leaders in the Army's professional occupations.

#### 17-3. Responsibilities.

a. Supervisors are the employee's initial source of information and counseling on career programs and the Army Civilian Training,

Education and Development System (ACTEDS), career appraisal and career program registration, and realistic career expectations. Supervisors consult with employees in developing Individual Development Plans (IDPs) based on ACTEDS.

b. Activity Career Program Managers (ACPMs) serve as the principal counselor to supervisors on career program matters at the installation level. An ACPM serves as the resource person for first line supervisors in providing information on career matters, realistic goal setting, opportunities within the command and other commands, and training and developmental activities. A current listing of ACPMs is included as Table 17-A.

c. The Office of the Deputy Chief of Staff for Personnel (ODCSPER) advises and assists supervisors and ACPMs in monitoring compliance with regulatory, administrative, and procedural requirements of each CP and assists the employee in CP referral registration. ODCSPER is responsible for monitoring overall career management programs and providing support in program administration.

#### 17-4. Intern Categories.

a. Headquarters, Department of Army (HQDA) interns are centrally funded by HQDA. Requirements for these interns are identified by the installation to the MACOM on a yearly basis. The requests are based on documented needs, training capability, future staffing needs, and the ability to place graduate interns into permanent positions. Individuals selected for HQDA Intern positions are required to sign a mobility agreement. The mobility agreement commits the Army to providing training and permanent placement upon graduation. In turn, the intern commits to Army-wide geographical availability in order to receive the optimal training and permanent placement opportunities deemed to be in the best interests of the Army.

b. Local intern positions are filled at the discretion of the Commander and are funded by the installation. They follow the same training plan and graduation schedule as HQDA interns, but are not required to sign a mobility agreement. The interns are placed at the local installation upon graduation.

c. Other categories of interns also exist, although they are not frequently used. Army Mobility and Opportunity Development (AMOD) interns are selected from personnel who possess high potential but who do not meet all of the qualification requirements for immediate entry into the specific career program. AMOD interns enter the intern program at the following series and grades: GS-301-4, GS-301-5, GS-301-7, or GS-525-5, GS-525-6, GS-525-7. The AMOD program is authorized by a

formal DA-wide training agreement. The length of an AMOD internship is determined by qualification requirements and Master Intern Training Plan (MITP) specifications. Therefore, the length may exceed the maximum 3-year time period specified for a regular intern.

A Presidential Management Intern (PMI) is an intern with an advanced degree in public administration or a similar degree focus. A PMI enters at the GS-9 level. After satisfactory completion of a 2-year training program, PMIs are converted to the competitive service and may be noncompetitively promoted to target grade GS-12 positions. Detailed descriptions of these types of internships can be found in the Army Regulation 690-950, Career Management.

#### 17-5. Career Development.

a. Training and development through the Army Civilian Training, Education and Development System (ACTEDS) are vital parts of career management. ACTEDS is a system that ensures planned development of civilian members of the work force through a blending of progressive and sequential work assignments, formal training, and self-development for individuals as they progress from entry level to senior positions.

b. Individual career program ACTEDS plans issue specific guidance on Army-wide training and development requirements from the intern through the executive level. Master Intern Training Plans (MITPs) are published in individual CP ACTEDS plans. They specify the type and training needed to qualify the intern for the target position. This information should be incorporated in each employee's Individual Development Plan (IDP).

c. Table 17-B shows various career programs and series included in them. More information is available on Career Programs at:

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

Click on the blue “Training” button, and then on “ACTEDS”.

TABLE 17-A

#### ACTIVITY CAREER PROGRAM MANAGERS (ACPMs)

NAME	OFFICE ADDRESS	CAREER PROGRAMS	CP
Deborah T. Devlin	AMSEL-PT	Civilian Personnel Administration	10
Anthony J. Pellicano	AMSEL-CP	Comptroller	11
Stephen LaPoint	AMSEL-SF	Safety Management	12
Charles K.	AMSEL-LC	Supply Management	13

Kalwinsky			
Edward G. Elgart	AMSEL-AC	Contracting And Acquisition	14
J. Michael Ryskamp	AMSEL-LC-COM-C-DT	Quality And Reliability Assurance	15
Dr. Louis Marquet	AMSEL-RD	Engineers And Scientists (Non-Construction)	16
David Sharman	AMSEL-LC-SAMD	Materiel Maintenance Management	17
Kevin S. Dooney	SELFM-PW-E	Engineers And Scientists (Resources & Construction)	18
Jay E. Welsh	SELFM-PMO-S	Physical Security and Law Enforcement	19
Henry Kearney	AMSEL-IO	Public Affairs and Communications Media	22
Corey Senko	AMSEL-LC-LEO-D-DP-DT	Transportation Management	24
Anthony J. Pellicano	AMSEL-CP	Manpower And Force Management	26
Michael M. Herbert	SELFM-PW-H	Housing Management	27
Shirley A. Hill	AMSEL-EE	Equal Employment Opportunity	28
Neil Sakumoto	AMSEL-PT-HRD-ACES	Education Services & Training	31/32
Raoul C. Cordeaux	AMSEL-AIS	Information Management	34
Ken Kociela	AMSEL-MI	Intelligence (General)	35

TABLE 17-B

ARMY CIVILIAN TRAINING, EDUCATION, AND DEVELOPMENT  
SYSTEM  
(ACTEDS)

## CAREER PROGRAM SUMMARY

CAREER PROGRAM	SERIES INCLUDED
CP-10 CIVILIAN PERSONNEL ADMIN	0201, 0212, 0221, 0230, 0233, 0235
CP-11 COMPTROLLER	0110, 0343, 0501, 0505, 0510, 0511, 0540, 0894, 1313, 0520, 1330
CP-12 SAFETY & OCC HEALTH MGT	0018, 0803, 1304, 1813
CP-13 SUPPLY MANAGEMENT	0340, 0344, 2001, 2003, 2010, 2030, 2032, 2050
CP-14 CONTRACTING & ACQUISITION	1101, 1102, 1103, 1150
CP-15 QUALITY & RELIABILITY ASSURANCE	1910
CP-16 ENGINEERS & SCIENTISTS (NONCONSTRUCTION)	0042, 0101, 0150, 0180, 0401, 0403, 0405, 0408, 0410, 0413, 0414, 0430, 0434, 0435, 0437, 0487, 0495, 0402, 0801, 0804, 0810, 0819, 0830, 0840, 0830, 0834, 0835, 0838, 0841, 0871, 0892, 0893, 0894, 0894, 1301, 1304, 1310, 1313, 1320, 1321, 1340, 1382, 1384, 1315, 1520, 1529, 1330, 1530

## CAREER PROGRAM SUMMARY

CAREER PROGRAM	SERIES INCLUDED
CP-17 MAINTENANCE MANAGEMENT	0301, 0340, 0344, 0802, 0854, 0895, 1101, 1152, 1401, 1470
CP-18 ENGINEERS & SCIENTISTS (RESOURCES & CONSTRUCTION)	0020, 0023, 0025, 0028, 0101, 0150, 0184, 0193, 0401, 0408, 0414, 0430, 0440, 0470, 0471, 0480, 0482, 0484, 0801, 0804, 0804, 0807, 0808, 0810, 0819, 0830, 0840, 0850, 0855, 0871, 0880, 0881, 0895, 0894, 1008, 1301, 1310, 1313, 1315, 1320, 1330, 1350, 1340, 1370, 1372, 1375, 1520, 1529
CP-19 PHYSICAL SECURITY & LAW ENFORCEMENT	0004, 0072, 0080, 0083, 0085, 0084, 0301, 1801, 1802, 1810, 1811, 1812
CP-20 QUALITY ASSURANCE (AMMUNITION SURVEILLANCE)	1910
CP-22 PUBLIC AFFAIRS & COMMUNICATIONS MEDIA	1033
CP-24 TRANSPORTATION MANAGEMENT	0301, 0344, 2101, 2130, 2150, 2141
CP-26 MANPOWER AND FORCE MANAGEMENT	0343, 0894

TABLE 17-B (continued)

# CAREER PROGRAM SUMMARY

CAREER PROGRAM	SERIES INCLUDED
CP-27 HOUSING MANAGEMENT	1173
CP-28 EQUAL EMPLOYMENT OPPORTUNITY	0240
CP-31 EDUCATION SERVICES	1740
CP-32 TRAINING	0301, 1701, 1702, 1712, 1750
CP-33 AMMUNITION MANAGEMENT	0301, 0340, 0344, 0802, 0895, 1101, 1150, 1152, 1401, 1470, 2001, 2003, 2010, 2030, 2050, 2101, 2150
CP-34 INFORMATION MANAGEMENT	0301, 0334, 0343, 0391, 1001, 1020, 1040, 1071, 1082, 1083, 1084, 1410, 1434
CP-35 INTELLIGENCE	0132, 0080, 1701, 1712
CP-50 MILITARY PERSONNEL MANAGEMENT	0205

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## CHAPTER 18

### TRAINING AND DEVELOPMENT

#### 18-1. References.

5 CFR 410, Training  
DOD Directive 1430.4, Civilian Employee Training  
Army Regulation 690-400, Chapter 410, Training, and Chapter 413, Management Development  
CECOM-R 350-2, Civilian Training and Development  
CECOM-R 350-3, Training in Government Facilities  
CECOM-R 350-4, Training of Civilian Employees through Non-Government Facilities  
CECOM-R 350-9, Long Term Training and Development

#### 18-2. Background.

This Command values the training of its work force as an essential and contributive factor in mission accomplishment. Accordingly, CECOM supports training by funding appropriate technical and common office skills training programs as well as formal educational programs for the

workforce. Management officials at all levels are responsible to assure prudent utilization of training funds and the identification of opportunities to stimulate and support learning and development. CECOM Policy Memorandum #99-8, Training, is provided at the end of this chapter for your information.

Individuals are encouraged to take full advantage of training and developmental opportunities for the purpose of increasing job efficiency, enhancing technical and professional skills, and preparing for future assignments. Management officials will observe affirmative action guidelines to provide every employee the opportunity to participate in training and developmental programs without regard to political preference, race, color, religion, national origin, age, sex, marital status, or mental or physical handicap.

### 18-3. Responsibilities.

a. Supervisory Responsibilities. Management officials and supervisors at all levels must identify skill and competency requirements for the organization to assure that current and future mission needs are met.

b. Employee Responsibilities. Employees must assume primary responsibility for career planning and personal development. Employees are responsible for self-assessment of current career status, knowledge and skills, mobility, accomplishments, and progress. This forms a basis for setting individual career goals. Employees are expected to acquire and maintain the knowledge, skills and abilities needed for quality performance and optimum contributions to organizational goals and objectives.

c. Training Coordinator Responsibilities. Training coordinators will:

(1) Maintain constant communication with the organization's leadership, employees and Human Resources Development Division (HRDD) to ensure that training needs and priorities are articulated and addressed.

(2) Partner with HRDD to ensure that training programs are offered on-site when the need warrants it.

(3) Make sure employees attend the training for which they are scheduled;

(4) Ensure that training funds that are allocated to CECOM and the Department of the Army are leveraged and utilized in a manner that is beneficial to management, employees and the command.

(5) Assist employees in their applications for training programs.

(6) Utilize the Automated Individual Development Plan System (A-IDPS) to analyze training needs, monitor employee completion of Automated Individual Development Plans (A-IDPs) and recommend technical training strategies to the organization's leadership.

d. The Office of the Deputy Chief of Staff for Personnel (ODCSPER) Human Resources Development Division (HRDD) will:

(1) Assist management, training coordinators and employees in determining training needs and evaluating the effectiveness of training received.

(2) Coordinate training programs with serviced activities.

(3) Negotiate with vendors for on-site delivery of training.

(4) Provide guidance and assistance to management and training coordinators on special training issues and problems.

(5) Publicize and process nominations for all competitive training programs.

(6) Interpret the requirements of governing laws and regulations of higher authority and implement appropriate guidance and controls to ensure that they are met.

#### 18-4. Individual Development Plans (IDPs).

a. All supervisors should review the training needs of their subordinates once a year, prior to the beginning of the new fiscal year. Training priorities identified during the review are to be recorded on each employee's IDP. Maintaining the IDP should be an ongoing process with the joint participation of the supervisor and the employee. The formal planning process results in increased efficiency, improved morale, and enhanced ability to meet future mission needs.

b. Preparing for completion of the IDP should include an outline of broad developmental objectives, based on review of performance standards, past performance ratings, and career counseling sessions. Supervisors should consider the variety of developmental opportunities and experiences to meet those objectives, as well as formal classroom learning, distance learning, on-the-job instruction and mentoring. Supervisors also should be prepared to support, assist and advise employees who engage in self-development activities. Such self-development might include taking courses not directly related to the present or immediate work assignments, but courses related to the organization's mission that would improve the employee's ability to

perform in future assignments.

c. The final steps are to monitor progress toward completing the training documented on the Individual Development Plan and to evaluate results. The process is continuously repeated to perpetuate a learning environment that addresses and meets the needs of the employee, the organization and the command.

d. CECOM employees document IDP requirements via the web-based Automated IDP tool. The web address is  
[www.aidp.stars.sed.monmouth.army.mil](http://www.aidp.stars.sed.monmouth.army.mil).

The A-IDP takes only about 10 minutes to complete, and training choices are customized for the employee's grade, career program, supervisory level and assigned organization. Supervisory discussion and approval are required. Overall training priorities established for the fiscal year and on-site training programs developed for CECOM are determined from the aggregate training requirements recorded by employees. Consequently, it is imperative to not only complete the IDP, but also to assure its validity and relevance to the organization's current and future mission.

e. Acquisition Workforce employees working toward acquisition certification must complete the Assistant Secretary of the Army for Acquisition Logistics and Technology (ASAALT) IDP. Some organizations require completion of both the CECOM IDP and the ASAALT IDP. Employees who have questions should consult with their training coordinators or first level supervisor for organizational policy.

#### 18-5. Army Civilian Training Education and Development System (ACTEDS).

a. The purpose of the ACTEDS plan is to ensure sequential and progressive technical, managerial, and professional training and development by blending work assignments and formal training into a structured, functionally tailored training and development program. ACTEDS provides a common "roadmap" for progression from the entry level to key high-level positions within the career program. ACTEDS goals are to ensure proper training of civilians, development of leaders, and sustainment of a quality work force.

b. ACTEDS plans are developed for specific occupational groups through a process of job analysis techniques to identify required competencies (knowledge, skills and abilities) at the five major stages of career advancement (intern, specialist, supervisor, manager, and executive). These competency requirements serve as the basis for building a viable ACTEDS plan which includes: the identification of key high-level positions; an outline of career paths to key high-level

positions; and a Master Training Plan (MTP) individually tailored by occupation and career program. ACTEDS documents knowledge and skills required for each occupation and grade level to develop realistic training guides and career progression ladders.

#### 18-6. Professional Development.

a. Professional development assignments are an excellent avenue to gain the depth and breadth of knowledge, skills, and abilities necessary to be highly competitive for responsible management and leadership positions. Each career program has an ACTEDS plan in place that provides roadmaps for advancement and recommended experiential duties, responsibilities and assignments at various grade and experience levels. Many developmental assignment opportunities are contained in the Catalog of Civilian Training, Education and Professional Development Opportunities published annually by the Office of the Assistant Secretary of the Army Manpower and Reserve Affairs (OASA/M&RA). The web address is:

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

b. Competitive Professional Development (CPD) is defined as functionally tailored, significant developmental opportunities that occur in academic (university) programs and Training-With-Industry (TWI). Programs covered include university programs; developmental assignments; Army Comptrollership Program (ACP); Graduate Cost Analysis Program (GCAP); DOD Professional Enhancement Program (PEP); Logistics and Acquisition Management Program (LOGAMP); Logistics Executive Development Program (LED); Advanced Resource Management Course (ARMC); Professional Military Comptroller School (Syracuse); and Short-term Training Assignments/Courses. Announcements, suspense dates and forms can be found in the Catalog of Civilian Training, Education, and Professional Development Opportunities. The web address is:

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

#### 18-7. Long Term Training.

a. Lower cost short-term, part-time and after-hours training of civilian employees may fulfill most training needs. However, opportunities for long-term, high level training for selected employees may be provided to keep members of the Command cognizant of special scientific, technological, and managerial advancements within and outside DA. All long-term training programs are competitive and have prescribed criteria for nominee selections. Employees interested in applying for long term training should contact their training coordinators or HRDD.

b. Long-term training is defined as off-the-job training to which a civilian

employee is assigned on a full-time basis for at least 120 calendar days at a military service college, a military installation, or a non-military training facility. Long-term training may be either formal classroom training or a working assignment.

18-8. Continued Service Agreements. Department of the Army policy requires civilian employees selected for non-Government training in excess of 80 hours, and Government or non-Government long-term training and education programs in excess of 120 calendar days, to complete a continued service agreement before assignment to the training. The employee must agree to:

- a. Continue in the service of his or her agency at least three times the length of the training period, commencing upon completion of the training, and
- b. Pay back expenses if he or she voluntarily separates from the agency prior to completion of the service obligation period.

18-9. Temporary Change of Station (TCS). Generally, employees who are assigned to another location for an extended period (i.e., six to 30 months) are eligible for TCS allowances while participating in a long term training or professional development assignment. The entitlement includes re-designation of the official duty station for the temporary period of assignment, limited real estate expenses, and locality-based pay entitlements. Some exceptions apply. Training coordinators and HRDD can provide specific guidance.

18-10. Funding.

- a. Centrally-funded interns, long term training, core leader development training and competitive professional development are funded through HQ DA. All other training is resourced and supported by the "mission dollars" of each installation, activity or organization.
- b. Training coordinators and HRDD staff can assist employees in completing appropriate applications for training and providing guidance on applying for a program through several funding sources. If a program potentially can be funded by DA or DOD, those avenues are pursued prior to authorization of local funds.
- c. If the training session or program occurs away from the employee's permanent duty station (PDS), he or she is eligible for travel, lodging, per diem, and miscellaneous expenses. In addition to approval of the DD1556, Request, Authorization & Certification for Training Reimbursement, the employee's travel order (DD1610, Request and Authorization for TDY Travel of DOD Personnel) must be completed and approved in advance. The organization to which assigned will fund

the travel/per diem costs for the employee's approved training attendance.

18-11. Training Attendance.

a. If training is conducted on-site or within local traveling distance, the employee continues to be on a regular work schedule and no entitlements to travel and per diem apply. Employees continue to be responsible for completing a full workday. In the unusual event of early class dismissal, employees are responsible for returning to their assigned workstation or requesting appropriate leave for the period between dismissal and the end of the regular day.

b. If training is not completed satisfactorily because of negligence or willful misconduct, the employee will be required to reimburse the Government for expenses incident to the training, other than salary costs.

c. The organization is responsible for ensuring that employees attend training once it is approved and scheduled. In addition, training coordinators are responsible for notifying HRDD when an emergency precludes an employee from attending the training approved. HRDD will provide guidance on approval of substitutes to replace employees who cannot attend due to emergencies. Efforts will be made to optimize all seats available and to reduce the per-student cost by assuring that classes are filled. Patterns of no-shows and cancellations will be addressed to the organization's leadership for corrective action.

18-12. Training Requests. All enrollments in a course are made by nomination on DD Form 1556 (Request, Authorization, Certification of Training and Reimbursement). Employees cannot be assigned to training or permitted to enroll in a course, regardless of course length, before the management official delegated authority to approve training has granted formal approval. Such approval is documented by signature on the manual DD Form 1556 or electronically authenticated when such mechanisms are in place. Employees who enroll in training courses without written prior approval are personally responsible for the total training cost.

18-13. The Difference Between Government and Nongovernment Training.

Distinctions are made between government and Nongovernment training for several reasons. The most significant factor for supervisors from a planning perspective is that the procedures for applying and lead-time required for quota allocation are very different.

Nongovernment schools can be scheduled on very short notice. On the other hand, lead-time for government schools (such as those offered by the Defense Acquisition University's Defense Systems Management

College (DSMC) and the Army Logistics Management College (ALMC)) is significant – one to three years. In addition, requests for seats in government schools must be processed through the automated Army Training Resource and Reservations System (ATRRS). The number of quota requests residing in ATRRS determines whether or not Fort Monmouth will be a host course site, or whether our employees will travel to other locations to attend training. Training coordinators have access to ATRRS. In addition, HRDD specialists can access the system as necessary as a back-up resource.

18-14. Delegation of Training Authority. At CECOM, the authority and responsibility for most training approvals rests with management. Management officials sign blocks 33 and 34 of DD Form 1556, Request, Authorization, Certification of Training and Reimbursement. Management officials may approve training requests for up to \$25,000. Training requests above \$5,000 must be approved by the DCSPER Training Office and the Acquisition Center. Directors may retain the delegation or further delegate the authority to subordinate supervisors.

18-15. The Training Process. The Training Process, appendix 18-A, is provided to enhance the understanding of how to incorporate training into the culture of the organization as a means to continuously develop, enhance and refresh the talent and skills necessary for successful mission accomplishment.

18-16. CECOM Training Policy Memo #99-8. CECOM Policy Memo #99-8, Training, appendix 18-B, implements a training and development policy designed to sustain a versatile, innovative and proactive CECOM Work force in meeting the challenges of the future.

## **THE TRAINING PROCESS**

### **APPENDIX 18-A**



SUBJECT: CECOM Policy Memo #99-8, Training

1. PURPOSE. To implement a training and development policy that will sustain a versatile, innovative and proactive CECOM work force in meeting the challenges of the future.

2. APPLICABILITY. This policy applies to all CECOM employees.

3. POLICY.

a. CECOM's work force is its most crucial element in satisfying and surpassing mission requirements. It is incumbent upon CECOM leadership at every level to take seriously the necessary investment in people, and to sponsor and support various training programs and initiatives designed to enrich the talent and expertise of this most valued resource--people. In addition, Management at every level is charged to manage training funds, personnel and facilities in such a way as to support and enhance CECOM's total training program. A collective effort will ensure that we achieve the right training, at the right price, at the right time. In turn, prudent utilization of resources will result in a more comprehensive capability to provide contemporary training in step with the rapid advances in the technologies we use.

b. To ensure that employees are equipped with the right skills, an Individual Development Plan (IDP) will be prepared for every civilian. The IDP will include job-related training and education courses that will prepare employees for their current positions as well as broader or higher level responsibilities. The objective is to achieve planned proficiency through realistic training requirements, which can be accomplished within a four-year period, as funding permits.

c. The civilian work force must be versatile and adaptable in anticipating and assuming new mission related challenges. Therefore, a Civilian Quarterly Training Brief (CQTB), modeled after the military standard, will be utilized as the tool to assess readiness of the civilian work force. The CQTB will focus on two primary factors: common core training, and execution of training programs against standard Command goals. Directors are responsible for initiating on-going actions to ensure achievement of goals identified in the CQTB.

4. POC. Ms. Lelia Armstrong, Chief, Human Resource Development Division, Personnel and Training Directorate (AMSEL-PT-HRD), X21677

[armstrol@mail1.monmouth.army.mil](mailto:armstrol@mail1.monmouth.army.mil).

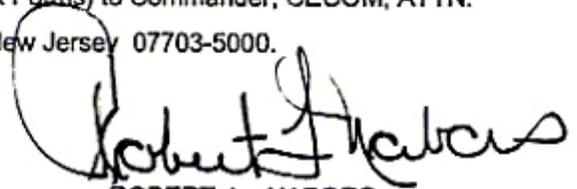
5. CECOM Bottom Line: THE SOLDIER.



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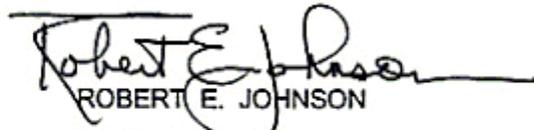


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