MEMORANDUM FOR SUPERVISORS/MANAGERS OF CIVILIAN EMPLOYEES

FROM: 7 FSS/FSMC

SUBJECT: Introduction to the Supervisor’s Guide to Personnel Issues

1. Congratulations on your appointment to a supervisory position. To help you in your day-to-day dealings with subordinates, the Civilian Personnel Element has developed this handy guide especially for you. The attached directory of personnel, (Attachment 1), lists their phone numbers which will give you easy access to the appropriate section within the Civilian Personnel Element. The topics covered in this guide will be informative as well as interesting.

2. Attachment 2 is an index to the Supervisor’s Handbook. A current listing of Air Force publications covering policies, program directives and procedures, as well as web sites, is included at Attachment 3.

3. The guide discusses a variety of issues that you may encounter from leave administration to disciplinary actions. While it may not cover every situation that will occur, we hope it will help explain the basics and provide you with resources necessary to handle most situations.

4. If we can assist you in any way, please call the appropriate office or human resource technician.

KAREN S. THOMAS
Civilian Personnel Officer

Attachments:
1. CPF Directory
2. Index List
3. Pubs/Web Sites
4. Guide
CIVILIAN PERSONNEL ELEMENT DIRECTORY

Civilian Personnel Officer
Karen Thomas ................................................................. 696-2391

NSPS Advisor
Kathy Wilson ........................................................................ 696-2394

Labor Management & Employee Relations
Lead – Karen Thomas ............................................................ 696-2391
Kathy Wilson ........................................................................ 696-2394

Classification
Lead – Neva Gambrell ............................................................ 696-3955
Kathy Wilson ........................................................................ 696-2394

Staffing
Lead – Ernesta Singleton ........................................................ 696-2644
Geneva Siratt ......................................................................... 696-2393

Training
Kathy Wilson ........................................................................ 696-2394
Ernesta Singleton .................................................................. 696-2644

Appraisals
Kathy Wilson ........................................................................ 696-2394
Ernesta Singleton .................................................................. 696-2644

Discipline
Lead – Karen Thomas ............................................................ 696-2391
Kathy Wilson ........................................................................ 696-2394
Neva Gambrell ....................................................................... 696-3955

Atch 1
INDEX TO THE SUPERVISOR’S HANDBOOK

PAGE

Merit Systems Principles ................................................................. 7
Prohibited Personnel Practices ...................................................... 8
Supervisor’s Employee Folder and Brief
(AF Form 971) .................................................................................. 9
Leave Administration ........................................................................ 11
SAMPLE: Advanced Annual Leave Request .................................... 12
SAMPLE: Advanced Sick Leave Request ......................................... 15
Family and Medical Leave ................................................................. 20
Time and Attendance (Helpful Hints) ............................................... 24
Quick Reference Chart (Time and Attendance) ............................... 27
Performance Management ................................................................. 29
SAMPLE: Failure to Perform Letter .................................................. 36
SAMPLE: Performance Improvement Plan (PIP) ............................. 37
Awards ................................................................................................. 38
Discipline and Adverse Actions ....................................................... 41
Supervisor Checklist for Disciplinary Actions ............................... 44
SAMPLE: Oral Admonishment .......................................................... 46
SAMPLE: Douglas Factors ................................................................. 47
Substance Abuse .............................................................................. 49
SAMPLE: Letter of Referral ............................................................... 50
Labor Relations .................................................................................. 52
Administrative Grievance Procedure ............................................. 55
Workers’ Compensation .................................................................. 60
Classification .................................................................................... 63
Affirmative Employment .................................................................. 65
Training & Development ................................................................. 72
Equal Employment Opportunity ..................................................... 75
Alphabetical Index ........................................................................... 77

Atch 2
AIR FORCE CIVILIAN PERSONNEL PUBLICATIONS

AFI 36-401.................Employee Training and Development
AFI 31-501.................Personnel Security Program Manager
AFI 36-14..................Position Management and Classification
AFI 36-505................Skills Coding
AFI 36-203.................Staffing Civilian Positions
AFI 36-106.................Supervisor’s Records
AFI 36-701................Labor Management Relations
AFI 36-703................Civilian Conduct and Responsibility
AFI 36-704.................Discipline and Adverse Actions
AFI 36-802................Pay Setting
AFI 36-807.................Weekly and Daily Scheduling of Work and Holiday Observances
AFI 36-810.................Substance Abuse Prevention and Control
AFI 36-815................Absence and Leave
AFI 36-1001..............Managing the Civilian Performance Program
AFI 36-1004..............Managing the Civilian Recognition Program
AFI 36-1401..............Position Classification
AFH 31-502..............Personnel Security Program
AFP 36-2861.............Civilian Recognition Guide
CA-550......................Federal Injury Compensation
CA-810......................Injury Compensation for Federal Employees
DOD........................Priority Placement Manual
DOD5200.2...............Personnel Security Program
Title 5......................United States Code
Title 5......................Code of Federal Regulations
X-118/X-118C..........Qualification Standards Handbook

Atch 3
USEFUL WEBSITES


http://www.cpms.osd.mil - Pay Scales


http://www.cpms.osd.mil/fas - Field Advisory Service


http://www.tsp.gov - Thrift Savings Plan

http://www.dfas.mil - Defense Finance and Accounting Service

http://www.flra.gov - Federal Labor Relations Authority

http://www.mspb.gov/ - Merit Systems Protection Board

https://diucs.cpms.osd.mil/forms/frmservlet?config=SAFER_ALONE_S
- Office of Workers’ Compensation

MERIT SYSTEMS PRINCIPLES

Merit system principles are a series of critically important rules that govern the operation and management of the federal work force. Taken as a whole, they are designed to ensure that the federal work force is recruited, managed, and rewarded based on merit, rather than political affiliation or other non-merit factors.

The merit system principles are specifically reflected in law at 5 U.S.C. 2301. In plain language, they require managers and supervisors to adhere to the following principles:

- Recruit qualified persons from all segments of society then select and advance them on the basis of merit after fair and open competition.
- Treat employees and applicants fairly and equitably, without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights.
- Provide equal pay for equal work, and recognize and reward excellent performance.
- Maintain high standards of integrity, conduct, and concern for the public interest.
- Manage employees efficiently and effectively.
- Retain, reward, and separate employees on the basis of their performance.
- Educate and train employees when it will result in better organizational or individual performance.
- Protect employees against arbitrary action, personal favoritism, or coercion for partisan political purposes.
- Protect employees against reprisal for "whistleblower" activity; that is, the lawful disclosure of information concerning violations of law, mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety.
PROHIBITED PERSONNEL PRACTICES

Prohibited personnel practices are just what the term suggests--a list of actions that those with personnel authority over others (e.g. managers, supervisors) are legally prohibited from taking.

The list of prohibited practices is contained in the law at 5 U.S.C. 2302(b). In plain language, it forbids the following actions:

- Discriminating on the basis of race, color, religion, sex, national origin, age, handicapping condition, marital status, or political affiliation.
- Soliciting or considering any personnel recommendation that is not based on a personal knowledge or records of job-related factors such as performance, ability, aptitude, general qualifications, character, loyalty, or suitability.
- Coercing an employee to perform or support political activity.
- Deceiving or deliberately obstructing any person who is attempting to compete for employment.
- Influencing or attempting to influence any person to withdraw from competition for the purpose of improving or injuring the prospects of another person for employment.
- Granting any preference or advantage not authorized by law, regulation, or rule to any employee or applicant to improve or injure the prospects of another applicant.
- Hiring, promoting, or influencing the hiring or promotion of a relative.
- Retaliating against an employee for whistle blowing activity.
- Retaliating against employees or applicants for exercising their appeal rights; for testifying or cooperating with an Inspector General or the Special Counsel; or for refusing to comply with an instruction that would require him/her to break the law.
- Discriminating based on personal conduct or actions that do not adversely affect an employee or applicant's job performance.
- Violating any law, rule, or regulation implementing or directly concerning the merit principles.
- Violating veteran's preference by taking or failure to take a personnel action.
SUPERVISOR’S EMPLOYEE WORK FOLDER AND BRIEF
(AF FORM 971)

It is Air Force policy that you have access to certain types of information regarding the employees you supervise. The Civilian Personnel Office (CPO) provides you with employee information contained in the automated Defense Civilian Personnel Data System (DCPDS) to aid you in carrying out your supervisory responsibilities. This information must be maintained in an official Employee Work Folder & Brief. You should have a work folder for each employee you supervise.

The following is a list of additional records normally maintained in this folder.

Supervisor’s Employee Work Folder contents:

- The most current AF Form 971, Automated Supervisor’s Employee Brief
- Training records, including Formal Training Plans
- Leave schedules (unless kept in central office files)
- Current AF Form 1378, Position Description; AF Form 1003, Air Force Core Personnel Document; or DD Form 2918, National Security Personnel System (NSPS) Position Description
- AF Form 860, Civilian Performance and Promotion Appraisal—Performance Plan (if not using core document)
- AF Form 860B, Civilian Progress Review Worksheet
- Most recent AF Form 860A, Civilian Performance and Promotion Appraisal
- Pending personnel actions, awards recommendations, etc.
- Disciplinary/adverse action backup materials
- Complaints of indebtedness

NOTE: Medical documentation, including injury compensation forms, suitability and/or security information must not be maintained in this folder. Other official folders are established for this purpose. Please go to the Civilian Personnel website for a sample folder.
The automated employee brief, AF Form 971, is used to record personal emergency information and to document significant events and discussions you have with your employees regarding performance, recognition, training and conduct. Documenting is your responsibility and should not be assigned to clerical personnel. **Employees have a right to see and initial notes concerning performance or conduct and may review the contents of their work folder upon request.**

Employee Work Folders must be maintained in a secure area that guards against unauthorized access yet is readily accessible for you to enter notes and other documentation.

**Disposition of Employee Work Folder:**

- When an employee is selected for reassignment, change-to-lower grade, or promotion, the losing supervisor forwards the complete work folder to the gaining supervisor within 10 days.

- When an employee is transferred to another Air Force installation or other Federal agency, or separates for reasons other than military service or adverse action, the folder is sent to the Civilian Personnel Office. They will suspend for destruction.

- When an employee enters military service, the work folder is sent to the Civilian Personnel Office.

- When an employee is separated by adverse action, the work folder is maintained with the supervisor until no longer needed. The folder is subsequently sent to the Civilian Personnel Office.
LEAVE ADMINISTRATION

AFI 36-815, Absence and Leave, explains the various types of leave available and when each should be used. It is important to note that if an employee is not at work, he/she must be covered by some type of leave (annual, sick or leave without pay) which must be requested by the employee and approved by the supervisor. Otherwise the employee is absent without leave (AWOL) until the employee makes the appropriate request.

Annual Leave

Since annual leave is a significant benefit for all permanent employees, it is very important that there is a mutual employee-management responsibility to plan and schedule the use of annual leave throughout the year.

Supervisors must administer leave on a fair and equal basis within the scope of applicable laws, regulations and directives.

In approving leave, supervisors must consider the needs of the organization and also the needs of the employee.

Authority to approve leave requests is normally delegated to the lowest supervisory level (immediate supervisor) having personal knowledge of the work requirements and the employees leave record.

Supervisors are responsible for ensuring that all employees are informed of the procedures they must follow in requesting and using leave. Leave policies may be given to employees in writing or verbally. An annotation can be made in the 971 folder to document the procedures were discussed.

The employee is responsible for: being dependable and reporting to work at a regular time each day, requesting annual leave in advance and reporting unexpected or emergency leave needs to the supervisor as soon as possible following the established office procedures.

Amounts of annual leave earned are based on years of service. If the employee has three years or less of service they earn four (4) hours each pay period, for a total of 104 hours each calendar year (two weeks and three days). If the employee has three to fourteen years of service they will earn six (6) hours each pay period, except the last pay period in which they will earn ten, for a total of 160 hours (or four weeks). Employees with over fifteen years of service will earn eight (8) hours each pay period for a total of 208 hours (or five weeks and one day). Maximum annual leave carry over each year is 240 hours or thirty days.

Annual leave can be advanced up to the amount that would be accrued during the rest of the leave year. For example: if an employee requests advanced annual leave in July, he/she can be advanced the amount they earn per pay period times the number of pay periods left in the year. Employee earns 4 hours a pay period, $4 \times 11 = 44$ hours they can advance.
SAMPLE
ADVANCED ANNUAL LEAVE REQUEST

MEMORANDUM FOR (Supervisor)

FROM: (Employee)

SUBJECT: Request for Advance Annual Leave

I am requesting _______ hours of advance annual leave (no more than what would be earned in remaining months of the current leave year) to be effective _______date or dates________ for _____________________________________________________.

________________________________________
Employee Signature

_____________________________________
Printed Name/SSN

1st Ind, (Supervisor’s Office Symbol)

TO: 7 FSS/FSMC

I approve the request for advance annual leave. Employee has been continuously employed for ____ years ____ months. I have considered the employee’s prior history concerning the use of leave and feel there will not be a problem. It is considered likely that the employee will return to duty for a sufficient period of time to repay the advanced leave.

_________________________________________
Supervisor’s Name with Signature

_____________________________________
Title

2nd Ind, 7 FSS/FSMC

TO: (Employee’s Supervisor)

In accordance with AFI 36-815, para 2.4.1, request for advance annual leave has been coordinated with the Civilian Personnel Office.

______________________________
XXXX XXXXX
Chief, Employee/Labor Relations
SICK LEAVE

Sick leave is allowed for medical, dental, or optical examination or treatment. It may be used when the employee is unable to report to work due to illness, injury, pregnancy, or confinement. Also, a limited amount of sick leave may be used when a member of the employee’s immediate family requires care as a result of illness, pregnancy, or medical, dental, or optical examination or treatment; or to make arrangements necessitated by the death of a family member or attend the funeral of a family member. It may also be used to make arrangements for adoption-related activities or to participate in drug or alcohol counseling programs.

- Sick leave becomes available for use at the beginning of the pay period during which it is earned.
- There is no limitation on the amount of sick leave that may be carried forward from one year to another.
- Sick leave is requested by the employee prior to any medical appointment or examination. Even though submitted with proper evidence, requests for sick leave for non-emergency medical appointments may be denied if it is determined that the employee’s services are needed.
- If an employee is absent because of illness, injury, exposure to a contagious disease, or other circumstances of incapacity, which are not known in advance, leave must be requested as soon as possible after the beginning of the absence (normally within the first two hours of the work day and according to established leave requesting procedures).
- For absences of three days or less, sick leave must be requested on the first day and every additional day unless the supervisor expressly relieves the employee of this requirement.
- When there is reason to believe that an employee is abusing sick leave, medical documentation may be required for absences of three days or less. This requirement must be limited to cases of suspected abuse and can be imposed only after the employee has been specifically informed in writing of the requirement. Ensure you coordinate with the CPO before administering such letter.
- Sick leave of more than three consecutive days must be supported by medical documentation unless the supervisor specifically waives this requirement or a physician did not attend the employee. If a physician did not attend the employee, the employee must show satisfactory evidence of incapacity.
If there is any doubt as to the validity or adequacy of the medical documentation presented to support a request for sick leave, the medical officer at the installation may be requested to review the documentation submitted and to consult the employee’s physician for additional information.

Where evidence does not justify the approval of sick leave, the absence may be charged to annual leave or leave without pay (LWOP) with the employee’s consent or charged to AWOL.

Employees may be advanced up to 30 workdays of sick leave for serious disability, illness, incapacitation, or confinement due to pregnancy. The request must be supported by medical documentation.

Employees may be advanced up to 5 workdays of sick leave each year for the care of a family member or for bereavement purposes.

If abuse of sick leave is suspected, contact the Employee/Labor Relations section for assistance in preparing an abuse letter. This can be the first step in improving the erratic attendance of an employee, or may begin the disciplinary process.
SAMPLE
ADVANCED SICK LEAVE REQUEST

MEMORANDUM FOR (Supervisor)

FROM: (Employee)

SUBJECT: Request for Advance Sick Leave

I am requesting _____ hours of advance sick leave (maximum of 240 hours) effective ___(date or dates)____________ for ___(reason)________________________. The attached Medical Qualifications Determination has been completed.

________________________________________
Signature/Date

________________________________________
Printed Name/SSN

Attachment:
Medical Determination Qualification

1st Ind, (Supervisor’s Office Symbol)

TO: 7 FSS/FSMC

I approve the request for advance sick leave. Employee has been continuously employed for years ___ months. I have considered the employee’s prior history concerning use of leave and feel there will not be a problem. It is considered likely that the employee will return to duty for a sufficient period of time to repay the advanced leave. The employee’s Medical Qualification Determination is attached.

________________________________________
Supervisor’s Name with Signature

________________________________________
Title

2nd Ind, 7 FSS/FSMC

TO: (Employee’s Supervisor)

In accordance with AFI 36-815 para 3.11, request for advance sick leave has been coordinated with the Civilian Personnel Office.

________________________________________
XXXX XXXXX
Chief, Employee/Labor Relations
MEDICAL QUALIFICATIONS DETERMINATION

EMPLOYEE’S NAME  ORGANIZATION

1. The history of the specific medical condition including references to findings from previous examinations, treatment, and responses to treatment.

2. Clinical findings from the most recent medical evaluation, including any of the following which have obtained: findings of physical examinations; results of laboratory test; X-rays; EKGs and other special evaluations or diagnostic procedures; and, in the case of psychiatric disease, the findings of a mental status examination and the results of psychological tests.

3. Assessment of the current clinical status and plans for future treatment.

4. Diagnosis:

5. An estimate of the expected date of full or partial recovery.

6. If employee is only partially disabled, indicate the extent of physical limitations and the type of work that could reasonably be performed with these limitations.

__________________________  ________________________
Physician’s Signature  Date
Leave Without Pay

✓ Leave Without Pay (LWOP) is requested by the employee. LWOP is a temporary non-pay status and is an authorized absence from duty approved by the supervisor.

✓ An employee does not have to exhaust annual leave before requesting LWOP.

✓ DO NOT confuse LWOP with Absence Without Leave (AWOL). AWOL is charged for unauthorized absence or absence for which the employee’s leave request was denied. LWOP is an approved absence from work.

✓ By law, LWOP must be granted for:
  ➢ Disabled veterans to cover an absence for medical treatment related to a service connected disability.
  ➢ A member of the Reserves or National Guard to perform military training duties.

✓ Other reasons for granting LWOP:
  ➢ Protecting an employee’s status and benefits pending action by the Office of Workers’ Compensation.
  ➢ To avoid a break in service for career or career-conditional employees who are dependents of a military or federal civilian employee.

✓ There is no maximum prescribed by law or regulation on the amount of LWOP, which may be granted. However, supervisors should consult with CPF before approving extended periods of LWOP. LWOP of more than 30 consecutive days must be made a matter of record in the employee’s Official Personnel Folder.

✓ If you approve LWOP for reasons not stated above, you cannot back fill your vacancy on a permanent basis. You can only fill temporarily until the LWOP has expired.
Military Leave

- If an employee is a member of the National Guard or Armed Forces Reserve Unit, up to 15 days of military leave may be granted for training or active duty. A copy of the orders and evidence that the duty was performed will be submitted by the employee.

- For entitlement to military leave, employees must:
  - Be a member of the Reserve or National Guard
  - Be a full-time, part-time or indefinite employee who does not have an intermittent schedule
  - Be serving in an appointment that is not limited to one year or less.

Court Leave

- Court leave is an approved leave of absence from work without loss of pay or charge to annual leave to perform jury duty in a federal, state or municipal court. Court leave is also permitted when serving as a witness, if the United States, the District of Columbia, or state or local government is a party.

- Except in extreme cases of necessity, it is Air Force policy not to request that an employee be excused from jury duty on the basis of Air Force employment.

- An employee is expected to return to work if there are four or more hours remaining in the workday. If the employee fails to report to work as directed, annual leave, LWOP or AWOL is charged for the excess time involved.

- An employee is entitled to receive and retain expenses paid for service rendered and reimbursement for travel expenses. The employee must submit fees received for jury or witness services by money order or personal check to the servicing Defense Finance and Accounting Service (DFAS) office.
Excused Absences

Excused absence is time off without charge to any type of leave or loss of pay. The following lists some of the situations that may be excused:

- For unavoidable absence, brief periods of early dismissal, and brief periods of tardiness less than one hour.
- Voting and voter registration in a government election. (See AFI 36-815, paragraph 8.4) unless the polls are open before/after work.
- Job related conferences and conventions where attendance is in the best interest of the Government.
- Consultation with Operating Officials, EEO Counselor, or CPF Staff.
- Blood donations are excusable for up to four hours, if needed.
- Treatment of an on-the-job injury when treated on the date of injury.
- Required physical examinations for fitness for duty, occupational health programs, etc.
- Air Force job interviews within the local commuting area.
- Official participation in military funerals.
- Participation in civil defense activities and exercises at the activity where employed.
- Participation in physical fitness activities. The Dyess fitness policy is contained on the CPO web page.
Family Medical Leave Act (FMLA)

- Full-time or part-time employees completing 12 months of service (not required to be recent or consecutive) are covered under the FMLA. They are entitled to a total of 12 administrative workweeks of unpaid leave (leave without pay) during any 12-month period for:
  - The birth of a son or daughter and care of the newborn
  - The placement of a son or daughter with the employee for adoption or foster care
  - The care of a spouse, son, daughter, or parent of the employee with a serious health condition
  - A serious health condition, as defined in 5 CFR 630.1202, of the employee that makes the employee unable to perform duties of their position.

- Employees must give proper notification (30-days advance notice of intent) and medical certification. The request may not be retroactive and may be taken intermittently.

- Upon return from FMLA leave, the employee must be returned to the same position held when the leave began or an equivalent position with equivalent benefits, pay, status, and other terms and conditions of employment.

- While on FMLA leave, the employee is entitled to maintain health benefits coverage under the FEHB Program. If the employee is on leave without pay under the FMLA, the employee is responsible for paying the employee share of the health benefits premium.

Family and Medical Leave Act Procedures

The Family and Medical Leave Act of 1993 (FMLA), provides certain employees with up to 12 workweeks of unpaid, job-protected leave a year.

- If an employee invokes FMLA leave or if a supervisor feels leave is being taken that would qualify for FMLA leave: consult with the Civilian Personnel Office.
If an employee requests FMLA leave (and the employee must invoke it) the supervisor must first determine eligibility. An employee must have worked 1,250 hours during the previous 12-month period to be eligible. The supervisor will complete form WH-381, Employer Response to Employee Request for Family or Medical Leave. This form will identify all eight requirements that the employee should have in writing.

✔ The first question from this form is informing the employee if they are eligible:
   ✤ If the employee is not eligible, notify them and do not proceed with the form.
   ✤ If the employee is eligible, complete the entire form (CPO will assist). Medical documentation will be necessary to prove “serious medical condition”.

✔ The requested leave will count against the FMLA entitlement if they are eligible.

✔ Medical certification is necessary and should always be provided; a specific date (that the medical information must be submitted) can be identified on the form. Form WH-380, Certification of Health Care Provider, can be provided for this purpose.

✔ The employee is allowed to substitute paid leave if they have it available.

✔ Health Benefit premiums will continue to be paid by the Employee (arrangements can be made to pay them directly if in a LWOP status for an extended period of time). Employees should be directed to the CPO for more information on the health premium payments. Basic life insurance premiums will be made by the Agency for up to one year.

✔ The employee should be required to supply medical documentation that they are well enough to report back to duty.

✔ If the supervisor wishes, they may request that periodic reports (or interim reports) be supplied on specified dates. If the original medical documentation is clear and the supervisor wishes to waive this requirement they may do so.

✔ If the leave needed is not consecutive dates, the supervisor may require the employee to provide re-certification on the serious medical condition.

All supporting documentation should be forwarded to the Civilian Personnel Office. Standard letters can be obtained through CPO for approved and denied leave.
Sample Eligibility Letter for FMLA

MEMORANDUM FOR

FROM:

SUBJECT: Request for Leave under the Family Medical Leave Act (FMLA)

1. Reference your request made on DATE for leave without pay under the Family Medical Leave Act (FMLA) for the timeframe of DATE to DATE. I have determined that you are eligible for FMLA for the following reason(s):

   _____ You have met the eligibility requirements under FMLA
   _____ You have provided medical documentation that supports a “serious medical condition”
   _____ Your medical documentation does justify the use of FMLA (qualifies as a “serious medical condition” as defined in 5 CFR 630.1202)

2. Attached is Form WH-381 explaining what will be required during your absence.

3. If you have any questions regarding FMLA please contact the Civilian Personnel Office at 696-2391.

NAME
Title

Attachment
1. Form WH-381
Leave Transfer Program

This program allows an employee who has a medical hardship to become a leave recipient. The leave recipient must have exhausted all sick and annual leave to be eligible. Only annual leave can be transferred/donated directly from other employees. OPM Form 630, Leave Recipient Application, and 630A, Request to Donate Annual Leave is available for recipients and donors on the AF Portal at the Civilian Personnel Office’s website, or you can call 696-2644.
TIME AND ATTENDANCE TRAINING AND HELPFUL HINTS

➢ APPROVING OFFICIAL’S RESPONSIBILITIES: When approving time and attendance reports, supervisors, other equivalent officials, or higher level managers are representing that, to the best of their knowledge, the actual work schedules recorded are true, correct, and accurate. Review and approval shall be made by the official, normally the immediate supervisor, most knowledgeable of the time worked and absence of the employees involved. The approving official may assign responsibility for observing daily attendance or accurately recording time and attendance data to a timekeeper or in limited circumstances as addressed in DoD Financial Management Regulation, Volume 8, Civilian Pay Policy and Procedures, the individual employee. Assignment of these duties does not relieve the approving official of the responsibility for timely and accurate reporting of the time and attendance to which he or she approves, including that leave is approved and administered in accordance with applicable policies, regulations, instructions, and any bargaining agreements. The supervisor shall inform the timekeeper when an employee is on any type of leave, or has worked any type of premium work. An alternate timekeeper shall be appointed to maintain time and attendance daily during the absence of the primary timekeeper.

➢ TIMEKEEPER’S RESPONSIBILITIES: Timekeeping is a critical function, which may be performed by the individual employee, timekeeper, supervisor, or a combination of these individuals. The timekeeping function requires the accurate and timely recording of time and attendance data and the maintenance of related documentation. Timekeepers may be civilian or military personnel. Individuals performing the timekeeping function are responsible for timely and accurate recording of all exceptions to the employee’s normal tour of duty. Ensuring that employees have attested to the accuracy of their current pay period’s time and attendance (including any exceptions such as use of leave) and any adjustments or corrections that are required after time and attendance is approved. These attestations shall be documented (in writing or electronically) including: a manually completed hard copy (e.g., a sign-in, sign-out sheet), a printout of an automated record (e.g., a time and attendance report) with the employee’s signature (written or electronic), or initials affirming the correctness of the data, or an automated or electronic record retained on magnetic medium. If the employee is not available prior to the approval of the time and attendance, attestation shall be documented as soon thereafter as possible. Ensuring that all entries for overtime and compensatory time earned have been approved, and totals are correct before certification.

➢ MILITARY LEAVE: If an employee expects to be on military duty for over 30 days, please ensure they see Civilian Personnel prior to leaving. It is in the best interest of the employee as their benefits are affected by absences longer than 30 days. Please note:
LM and KG are not one and the same. Military Leave (LM) is a pay status code and Military Furlough-LWOP US (KG) is a non-pay status code. Upon the completion of the employee’s military duty they must submit a certified copy of their orders for the dates they took military leave. If a certified copy of orders is unavailable, the employee’s timecard must be corrected to indicate some other type of applicable leave such as annual leave, comp time, or time off award.

- **BASIC LEAVE**: When charging leave for an employee, annotate LS for sick leave; LA for annual leave; leave without pay (LWOP) is coded KA; AWOL is coded KC. If an employee is unavailable to initial their leave on their timecard at the time the leave was taken, an SF Form 71, Application for Leave, must be completed. Upon their return to duty, they must initial their timecard and at that time the SF Form 71 can be destroyed. If the SF-71 will be kept on file in lieu of the employee’s initials, it must be kept on file for 6 years for auditing purposes.

- **ADVANCED LEAVE**: Advanced sick or annual leave must be coordinated through the Civilian Personnel Office prior to its use. Please use LB for advanced annual leave, and LG for advanced sick leave.

- **FAMILY MEDICAL LEAVE ACT (FMLA)**: FMLA is just that--leave for a family member or employee which requires medical documentation. This type of leave entitles the employee to 12 workweeks of unpaid leave during any 12-month period. The employee can substitute LA, LS, LG, CT, or donated leave for unpaid leave. It can be utilized for the care of a newborn (son/daughter) (coded as DA); adoption or foster care (coded as DB); care of spouse, son, daughter, or parent with serious health condition (coded as DC); and for the employee with a serious health condition (coded as DD). It requires medical documentation and approval by the supervisor. The process is coordinated through Civilian Personnel Office prior to its use.

- **FAMILY FRIENDLY LEAVE ACT (FFLA)**: FFLA grants the employee the ability to use sick leave for the care of a family member or bereavement (codes as DE), or for absence due to adoption (coded as DF). Permanent employees (both full-time and part-time) are eligible to use this leave. Full time employees may use up to 40 hours of LS each leave year with an additional 64 hours as long as the employee maintains a balance of at least 80 hours of sick leave. Part time employees are entitled to the number of hours in their average scheduled workweek. This type of leave requires approval from the supervisor. It does not require coordination through Civilian Personnel or Civilian Pay Offices.

- **OVERTIME/COMP TIME**: Unscheduled overtime is coded OU and scheduled overtime is OS; comp time earned is coded CE; comp time used is coded CT. Comp time must be used within 26 pay periods. If not taken within that time frame, the comp time will convert to overtime and pay out to the employee. An AF form 428, Request for Overtime, must be completed prior to overtime being worked and must be kept on file for 6 years for auditing purposes.
➢ **FAMILY DAYS:** Liberal Leave is not coded as “LL.” If an employee takes leave on a liberal leave day, it must be coded with the appropriate leave code.

➢ **COURT LEAVE:** When employees are called for juror duty and they request to take court leave (LC), they must turn in a certified attendance sheet from the court clerk. Employees must also turn in any monies paid them for their service as a juror. The only money they may keep is any “expense” checks they are given for travel, food, etc., but they must turn in their “service” check.

➢ **TIME OFF AS AN INCENTIVE AWARD (LY):** This type of leave must be used within 26 pay periods. If not taken within that time, the leave will be forfeited and un-restorabel. The maximum amount of time off that can be granted to any one individual for a single achievement is 40 hours. The maximum amount of time off that can be granted within one leave year is 80 hours.

Supervisors are responsible for verifying work schedules. Please ensure the printed schedule listed on the timecard is correct prior to submitting the timecard to your timekeeper. Shift codes are as follows:

- RF is first shift
- RS is second shift
- RT is third shift

Verifying schedules is extremely important as your employee could be UNDERPAID or OVERPAID.

➢ **TIMECARDS:** Please do not use pencils, red or erasable ink pens, or white-out on this document. Please line through errors (ONCE) and initial. Employees are not authorized to initial corrections without the supervisor’s initials! Do not staple any document to the timecard. If an employee’s computer generated timecard is lost and a generic timecard must be completed, please ensure the employee SSN and name is typed! Feel free to write remarks on timecards, if needed.

Time and attendance documents must be hand delivered to the timekeeper for processing. Please never route them through BITS.

Reference: DoD, Financial Management Regulation, Volume 8, Civilian Pay Policy and Procedures
# QUICK REFERENCE

## LEAVE
LA - Leave Annual  
LH - Leave Holiday  
LS - Leave Sick  
LM - Leave Military  
LN - Leave Administrative  
LC - Leave Court  
LU - Traumatic Injury (Establishes injury) (use the day **OF** injury)  
LT - Traumatic Injury (COP – 45 days leave) (use for leave **AFTER** injury)  
LY - Time-off Award

## FAMILY MEDICAL LEAVE ACT (see note below)
DA - Care of Newborn (son/daughter) (FMLA)  
DB - Adoption or Foster Care (FMLA)  
DC - Care of Spouse, son, daughter or parent with serious health condition (FMLA)  
DD - Serious health condition of employee (FMLA)

## FAMILY FRIENDLY LEAVE ACT (see note below)
DE - Care for a family member or bereavement (FFLA)  
DF - Absence due to adoption (FFLA)

## LEAVE NON-PAY
KA - LWOP  
KB - Suspension  
KC - AWOL  
KD - OWCP  
KE - Furlough  
KG - Military Furlough (LWOP-US) called to active duty

## REPRESENTATION LEAVE
(FOR UNION REPS)
BA - Negotiations  
BB - Mid Term Negotiations  
BD - Labor/Mgt. Relationship  
BK - Grievance & Appeals

## HOLIDAY CODES
HG - Holiday Worked (graded)  
HF - Holiday Worked 1st Shift  
HS - Holiday Worked 2nd Shift  
HT - Holiday Worked 3rd Shift  
HC - Holiday Callback

## COMPENSATORY
CB - Travel Comp Time Earned  
CC - Compensatory Callback  
CE - Compensatory Time Earned  
CF - Travel Comp Time Taken  
CT - Compensatory Time Taken

## RESTORED LEAVE
LR - Restored Annual Leave #1  
LQ - Restored Annual Leave #2  
LP - Restored Annual Leave #3

## OVERTIME
OS - Overtime Scheduled  
OU - Overtime Unscheduled  
OC - Overtime Callback

## REGULAR WORK
RG - Regular (graded/GS)  
RF - Reg. (ungraded/WG) 1st Shift  
RS - Reg. (ungraded/WG) 2nd Shift  
RT - Reg. (ungraded/WG) 3rd Shift

## ADVANCED LEAVE
( must have prior approval)  
LB - Advanced Annual  
LG - Advanced Sick

## EMPLOYEE DEATH
LX - Day of Death

### NOTE FOR FAMILY LEAVE:
In order to ensure family leave is entered correctly on the appropriate date, please annotate the code (DA, DB, DC, DD, DE, or DF) in the "Job Order Number" block (to the left of the "Type Hour" block) on the timecard. The code LS is annotated in the Type Hour block. If regular sick leave is also taken during the same pay period than a separate block for that LS time is utilized on the next available line.
<table>
<thead>
<tr>
<th>MINUTES</th>
<th>HUNDREDTHS EQUIVALENT</th>
<th>MINUTES</th>
<th>HUNDREDTHS EQUIVALENT</th>
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PERFORMANCE MANAGEMENT  
(Non-NSPS Employees)

The Civil Service Reform Act of 1978 requires that the performance appraisal rating be used as the basis for decisions to reward, assign, train, promote, retain, or remove employees. AFI 36-1001, managing the Civilian Performance Program, covers performance management related issues. The rating cycle runs from 1 April – 31 March. During the first 30 days of the rating cycle (or the employee’s starting date) the supervisor should review the Performance Plan, AF Form 860 or Core Personnel Document, AF Form 1003, with the employee and discuss performance expectations. This review is annotated on the core document with the supervisor and employee’s signature. At least once during the rating cycle the supervisor should provide feedback to the employee using the AF Form 860B, Civilian Progress Review Worksheet.

Performance Ratings

As of 2000, performance evaluations are done on a two-tier system, either Acceptable or Unacceptable. The ratings are given using the AF Form 860A, Civilian Rating of Record. On this form the supervisor assesses the employee’s performance using the elements and standards established in the Performance Plan or Core Personnel Document. An Acceptable rating indicates the employee met the requirements of all performance elements (or duties). An Unacceptable rating indicates that the employee did not meet the requirements in one or more of the elements (or duties). Performance ratings have a direct impact on employees in that acceptable performance ensures they are eligible for within grade increases (WGIs), unacceptable performance makes them ineligible for within grade increases. Until they have had the opportunity to improve and demonstrate an acceptable level of performance after being placed on a Performance Improvement Plan (PIP), the WGI is withheld.

On the AF Form 860A each element (or duty) is rated as met or not met. If for some reason one element has not been observed during the rating cycle it should be marked as “Not Observed” or “Not Rated” and thus not rated. However, if a particular element is continually not rated it may warrant review to see if it should be removed from the Performance Plan or Core Personnel Document. Based on the element ratings, the overall rating can be given. Remember, all elements are now critical so not meeting one element means the overall rating is Unacceptable.

Part B of AF Form 860A is mandatory for GS-14 and GS-15 employees and purely optional for all other grades. It should include what the employee has done; how well they did it and the impact it has had on mission accomplishment.

Part C of AF Form 860A is used only when issuing a Performance Award. Comments should be written in bullet format to justify why an award is warranted for each employee based on duty related performance during that cycle. Each base determines how they will distribute Performance Awards and develops their own methods for achieving this. Each year the Wing Commander determines the amount of the award, and the method in which it will be given.

Part E of the AF Form 860A certifies the rating by having the rater (supervisor) and reviewer (2nd level supervisor) and Quality Control Review (QCR) Official signatures. Recommended
ratings and/or awards should not be discussed with employees. As management officials, you are required to support the final approved rating and award determinations made by higher level reviewing officials.

Part F is for assigning ratings for the nine appraisal factors that are inherent in all positions. These are used as merit promotion factors. Employees applying for promotion positions, once determined qualified for the position, will be ranked using these factors. The appraisal factors are an assessment of work behavior to be considered predictive of performance at the next higher level and therefore should not be used in granting a performance award.

After the appraisal has been signed off by the Rater, Reviewer, QCR, and performance awards are annotated on the form if applicable, the appraisal may then be issued to the employee.

It is your responsibility as the supervisor to go over the appraisal with the employee and explain their rating.

This is also a good time to review the core document with the employee to ensure they clearly understand the duties of the position as well as identify any changes that may need to be made to the core document. After the review, the supervisor and employee should sign and date the form.
PERFORMANCE MANAGEMENT
(NSPS Employees)

The NSPS performance management system promotes a performance culture in which the performance and contributions of the workforce are recognized and rewarded more accurately and fully. Performance is an ongoing process comprised of five phases – plan, monitor, develop, rate, and reward.

Plan Phase
During the plan phase of NSPS, supervisors, with input from employees, develop performance plans. These plans describe what the employee is expected to achieve (measurable job objectives) and how the employee will achieve these results (contributing factors) during the appraisal cycle.

Monitor Phase
Employees and supervisors work together to monitor performance. Frequent, ongoing communication ensures that there is a shared understanding about what is working and what is not, and that the performance plan accurately reflects the major performance expectations. Along with ongoing monitoring activities, there is one required event – an interim review. Typically, an interim review occurs midway through the performance cycle. During this activity, employees and supervisors should have a conversation regarding the employee’s performance to date, document the conversation, and make adjustments to the plans, if necessary.

Develop Phase
Developing performance is integrated into the performance management process. Along with meaningful performance-related discussions that help reinforce employee strengths and correct weaknesses, discussing developmental opportunities occurs during the develop phase. Professional or technical development opportunities further enhance an employee’s contribution to the organization’s mission and assist with achieving career goals. Developmental opportunities may include training, mentoring, and coaching.

Rate Phase
Employee performance is rated based on two factors:

First, the employee is rated on what was accomplished. Each job objective is rated between 1 and 5 using the “measuring stick” of the NSPS performance indicator appropriate to an employee’s pay schedule and pay band.

Second, the rating official determines how the contributing factors overall influenced the performance of the associated job objective and indicates whether it increases the job objective rating by a factor of 1, decreases the rating by a factor of 1, or has no effect (0).

Combining the job objective rating and contributing factor assessment (expressed as +1, 0, or −1) results in an adjusted rating for each job objective. The adjusted rating of each job objective is averaged to determine the recommended rating of record.

**Reward Phase**

During the reward phase, supervisors, based on the recommended rating of record, are responsible for recommending the following:

- Number of shares
- Payout distribution

This information is provided to pay pool panels responsible for reviewing the recommended ratings of record, share assignments, and payout distributions and making final determinations. When the pay pool process is completed, supervisors are informed of the final rating and payout decisions. In turn, supervisors meet with employees to discuss the results.

The following table provides the share range and eligibility based on the rating of record.

<table>
<thead>
<tr>
<th>Rating of Record</th>
<th>Share Range</th>
<th>Eligible to receive.....</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 – Role Model</td>
<td>5 – 6</td>
<td>Base salary increase, bonus, or combination</td>
</tr>
<tr>
<td>4 – Exceeds expectations</td>
<td>3 – 4</td>
<td>Base salary increase, bonus, or combination</td>
</tr>
<tr>
<td>3 – Valued performer</td>
<td>1 – 2</td>
<td>Base salary increase, bonus, or combination</td>
</tr>
<tr>
<td>2 – Fair</td>
<td>0</td>
<td>No performance-based payout</td>
</tr>
<tr>
<td>1 – Unacceptable</td>
<td>0</td>
<td>No performance-based payout</td>
</tr>
</tbody>
</table>
SMART JOB OBJECTIVES

An essential part of the system’s design is to provide a fair and equitable method for appraising and evaluating performance. Job objectives are used as a way for managers/supervisors to communicate the major work that needs to be accomplished.

What are Job Objectives?

- *Job objectives* communicate major individual, team, and organizational responsibilities or contributions and the related outcomes and accomplishments that are expected of the employee.
- *Job objectives* are linked to the mission or goals of the organization.
- *Job objectives* focus on results and describe a future situation or expected outcome.
- *Job objectives* capture the large buckets of an employee’s work – not the small daily tasks of the job.
- *Job objectives* must be appropriate to the pay band and salary of the individual.

Requirements for Job Objectives

- Everyone in NSPS will be assigned at least one job objective; generally, it is best to use three to five job objectives.
- Job objectives may be weighted. No job objective may have a weight of less than 10%, and the total for all weighted objectives must be 100%. Component policies may specify additional requirements.
- Managers/supervisors must be assigned at least one job objective that directly addresses their managerial roles under NSPS.

What are SMART Objectives?

- **S - Specific** means that an observable action, behavior, or achievement is described. It also can mean that the work relates to a rate of performance, frequency, percentage, or other number. The job objective should be specific about the result, not the way it is achieved.

- **M - Measurable** (or observable or verifiable) means that a method or procedure must exist to assess and record the quality of the outcomes. Some work is measured easily; in other cases, behaviors or results need to be verified or observed.

- **A - Aligned** means drawing a line of sight between job objectives throughout the organization so that all are working toward the same goal. This improves the performance of the team, the command, and the entire organization.

- **R – Realistic/Relevant**: **Realistic** means the achievement of a job objective is something an employee or a team can do to support a work-unit goal. The job objective is achievable with the resources and personnel available and within the time available. **Relevant** implies that the job objective is important to the employee and the organization.
**T - Timed** (or timely, time-bound) means there is a point in time when the job objective will start or when it will be completed.

Criteria for Effective Job Objectives

Consider these criteria when writing job objectives:

- Are the job objectives results-focused?

- Do the job objectives focus on the “large buckets” of work the employee is responsible for accomplishing within the period of performance?

- Can a “line of sight” be drawn between the job objectives and the organization’s mission and goals?

- Are the job objectives appropriate for the employee’s salary level, pay schedule, and pay band?

- Are the job objectives written in a SMART framework so that the supervisor and employee have a shared understanding of what is expected?

Mandatory Supervisory Job Objective

Managers/supervisors must be assigned at least one job objective that directly addresses their managerial role under NSPS. This mandatory job objective must cover these criteria:

- Communicating performance expectations and holding employees responsible for accomplishing them

- Making meaningful distinctions among employees based on performance and contribution

- Fostering and rewarding excellent performance

- Addressing poor performance

- Ensuring that employees are assigned a rating of record when required

- Adhering to laws and regulations governing merit-systems principles, prohibited personnel practices, and equal employment opportunity

*For more information on performance management and other NSPS subjects, please visit the NSPS web site at [http://www.cpms.osd.mil/nsps](http://www.cpms.osd.mil/nsps).*
Unacceptable Performance

If you are concerned about a performance problem, do not wait until the appraisal rating to inform the employee. The employee should be given ample time to improve their performance before an Unacceptable rating can be given. The supervisor should inform the employee, in writing, exactly which element(s) they are not meeting and why. They should explain to the employee what is needed for improvement and how they will assist them in bringing performance up to an acceptable level. This is called a Performance Improvement Plan or PIP. Please consult with an Employee Relations Specialist prior to issuing a PIP.

For NSPS covered employees, a reduction in an employee’s base salary and/or pay band may be initiated and made effective at any time through adverse action procedures based on a determination of unacceptable performance. Although there is no requirement for the establishment of a formal performance improvement period before management may initiate an adverse action, supervisors should consider this intervention. Adverse action may be taken independent of the processes and/or procedures for appraising and rating performance.
SAMPLE
FAILURE TO PERFORM

MEMORANDUM FOR (Employee and Office Symbol)

FROM: (Supervisor)

SUBJECT: Notice of Failure to Perform

1. This is to advise you of your failure to meet performance requirements in three areas of your required duties.

2. You are being given the opportunity to improve and you will be assisted in meeting the performance requirements. A Performance Improvement Plan has been established for you that states:
   a. What job requirements/elements you are failing to meet.
   b. What way you are not meeting your job requirements/elements at the acceptable level
   c. What you must do to bring your performance to an acceptable level?
   d. How much time will be allowed to demonstrate acceptable performance?
   e. What efforts will be made to help you improve your performance?

3. A copy of the Performance Improvement Plan is attached.

4. If you want management to consider any medical condition that may contribute to your unacceptable performance, you will be given a reasonable time to furnish medical information.

5. If you fail to improve in your work performance, you are advised that this failure may lead to further action up to and including removal.

________________________
Supervisor’s Signature

________________________
Title

Attachment:
Performance Improvement Plan
SAMPLE
PERFORMANCE IMPROVEMENT PLAN

Duties Which Employee is Failing to Meet:

Duty/Element #: The first duty or element that the employee is failing to meet.

Standard: The standards attached to that duty or element, which the employee is failing to meet.

Rating: Unacceptable

Way(s) in which Employee’s Performance is Unacceptable: Explain what has happened and give solid examples of ways the employee’s performance has dropped to an unacceptable level.

What is required from Employee for Acceptable Performance:

1. Explain exactly what is required to bring performance to the acceptable level.

Duty/Element #: Next duty that is unacceptable.

Standard:

Rating: Unacceptable

Way(s) in which Employee’s Performance is Unacceptable:

What is required from Employee for Acceptable Performance:

TIME FRAME TO IMPROVE:

You must show improvement within 60/90/120 days from the date of this review. Within this timeframe you must demonstrate improvement by performing your work assignments completely and accurately.

WHAT SUPERVISOR WILL DO TO HELP:

________________________________________
Supervisor’s Signature

________________________________________
Title
Awards

Rewarding employees for performance above and beyond what is expected or for a one time event can be done in several ways. The most widely used is the Time Off Award. This is initiated with a SF-52, Request for Personnel Action. The supervisor can approve up to eight hours and must include both a certification that the cost of time lost is well justified by the benefit realized by the Air Force from the employee’s contributions and a justification for why the Time Off Award is warranted. Anything over eight hours should be approved through the Group Commander or equivalent. Forty hours is the maximum given for any one award and no more than eighty hours can be given to one employee in a year. This includes any time off that is given in conjunction with the performance award program.

**NOTE:** A Time-Off Award cannot be used in lieu of or as a supplement to the NSPS performance payout. The NSPS performance appraisal process recognizes employee contributions through a performance payout. Subject to pay pool panel reconciliation and final approval by the pay pool manager, the employee performance payout may be paid as an increase in base salary, a bonus, or a combination of the two. The NSPS employee’s performance appraisal cannot be used as the supporting document to additionally award time-off in conjunction with the annual appraisal as was the case under the legacy performance management system when the employee was General Schedule.

A Time-Off Award or other incentive award may be considered during the performance cycle to recognize an employee for a specific accomplishment or act, but care must be taken to ensure the employee is not rewarded twice for the same performance.

Other incentive awards that are available are Notable Achievement Awards, which includes a certificate and $25 to $500 cash award and Special Act or Service Award, which includes a certificate and $300 to $50,000 cash award. These are initiated by submitting an AF Form 1768, Staff Summary Sheet, with justification that describes the achievement with the proposed citation attached and is contingent on approval from finance. Civilian Achievement Awards, Exemplary Service Awards, Letters of Commendation and Letters of Appreciation can also be done.

The Quarterly/Annual Civilian Award program is governed by AAFI, 36-2804, Special Act and Service Awards. Nominees should be submitted using the AF-1206. Currently, there are six categories: Non-supervisory GS01-GS06, Non-supervisory GS07-12, Non-supervisory WG01-09, Non-supervisory WG10, Non-supervisory WG11-13 and all WLs and Supervisor. NSPS employees are incorporated in the GS equivalent categories. Typically nominees are also granted time off for winning in their respective category.

There are also a number of awards sponsored at the Major Command or even the Department of Defense level or by a private organization where civilian submissions are accepted.

Guidance on awards can be found in AF Pamphlet 36-2861 and AFI 36-1004.
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<th>Air Force Honorary Awards</th>
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<tbody>
<tr>
<td><strong>Letter/Certificate of Appreciation (Individual or Group)</strong></td>
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<tr>
<td><strong>Letter/Certificate of Commendation (Individual or Group)</strong></td>
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<tr>
<td><strong>Command Civilian Award for Valor (Individual)</strong></td>
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<td><strong>AF Civilian Award for Valor (Individual)</strong></td>
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<td><strong>Exemplary Civilian Service Award (Individual)</strong></td>
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<td><strong>Meritorious Civilian Service Award (Individual)</strong></td>
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<td><strong>Civilian Achievement Award</strong></td>
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<td><strong>Outstanding Civilian Career Service Award (Individual)</strong></td>
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<tr>
<td><strong>Decoration for Exceptional Civilian Service (Individual)</strong></td>
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# Air Force Monetary Awards

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<tr>
<th>Award</th>
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<tbody>
<tr>
<td>Special Act or Service Award</td>
<td>Up to $10,000</td>
<td>Individual (or group) that significantly exceeded job requirements as a one-time occurrence resulting in significant tangible or intangible benefits to the government.</td>
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<tr>
<td>Notable Achievement Award</td>
<td>From $25 - $500</td>
<td>Individual or (group) that has made personal effort resulting in the elimination of a wasteful, inefficient practice, or enhancement of mission effectiveness as a one-time occurrence.</td>
</tr>
<tr>
<td>Time Off Award</td>
<td>Up to 40 hours per award Up to 80 hours per leave year</td>
<td>Individual whose superior accomplishment or personal effort contributes to the quality, efficiency or economy of government operations.</td>
</tr>
</tbody>
</table>
DISCIPLINE AND ADVERSE ACTIONS

Discipline and adverse actions may become necessary even in the best of organizations. Supervisors have the responsibility to take disciplinary actions promptly and equitably, when necessary. The first decision to be made is to assess the situation and decide if the action is a performance problem or a conduct problem. If the problem is performance, then refer to the Performance Management section of this guide. If it is a conduct problem, then disciplinary action is appropriate. AFI 36-704, Discipline and Adverse Actions, the attached guide and checklists will provide you the necessary information regarding the type of disciplinary action, the appropriateness of the action and the documentation needed to support the disciplinary action taken. Please contact the Employee Relations Section, 696-2391, for assistance needed in all types of disciplinary actions.

When disciplining an employee, keep the following tips in mind. Except in those cases in which the discipline you are proposing or have decided warrants removal from federal service, you should regard these face-to-face sessions as an opportunity to help the employee progress. That is, rather than simply announcing your conclusions and the penalty, or worse yet “chewing out” the employee for the misconduct, you should try to increase the chances that the discipline will have the desired effect. That is, that it will correct the unacceptable behavior.

In order to turn such encounters to positive situations, keep the following recommendations in mind:

- Keep it calm and unemotional. If you do not, any number of unproductive things can happen, including a shouting match, a permanently damaged relationship and even violence.

- Focus on the behavior, not the individual. In other words, direct your remarks to what was done wrong, why it was wrong, and the adverse effect it had or could have on the operation. Do not berate the employee for character flaws, real or imagined.

- Point out the desired behavior. If the employee is chronically late, feel free to point out things that he/she can do to avoid having last minute problems that may be causing tardiness. But above all, stress what behavior is required; i.e., timely arrival to work.

- End on a positive note. In other words, do not send the employee out the door with threats of further action ringing in his/her ears, but rather, with an assurance that he/she is still a valued member of the work team.

The following is a guide to handling disciplinary actions from gathering evidence to determining the appropriate penalty. It should be noted that counseling sessions are not disciplinary in nature. They should be annotated in the 971 folder and can be used as support of awareness of the problem in future disciplinary actions but should not be viewed as a disciplinary action itself.
DISCIPLINE AND ADVERSE ACTION GUIDE

Procedures for taking constructive disciplinary action are:

- Gather available facts
- Interview employee in private
- Give the employee an opportunity to respond
- Consider the employee’s answer
- Determine appropriate action necessary

Disciplinary action must be constructive. If it is determined that the actions of the employee were intentional, warranting disciplinary action of some type, consideration should be given to the employee’s work history, possible provocation, mitigating circumstances, nature and consequences of the offense, and other relevant factors. It is very important to select the least severe penalty that is expected to resolve the problem. Disciplinary actions that may be taken are:

- **Oral Admonishment:** This is the least severe action that may be used to correct unacceptable conduct of an employee. The employee is informed that the discussion will be noted as an oral admonishment. The 971, Supervisor’s Employee Work Folder, is documented in pencil on the date of the admonishment, and deleted two years from the effective date.

- **Reprimand:** This is a more severe disciplinary action, which is used to correct significant misconduct or repeated minor offenses. The formal disciplinary letter is issued by a management official who has the authority to discipline an employee. A copy of the Letter of Reprimand (LOR) is placed in the Official Personnel Folder (OPF) and in the 971 folder. Since LOR’s are temporary records, these are removed and destroyed from the 971 and OPF two years from the effective date of the letter.

- **Suspension:** This is extremely severe disciplinary action, which places an employee on a non-duty status with no pay. This action requires a SF-52 action that generates a SF-50, Notice of Personnel Action, which is filed as a permanent document in the employee’s OPF.

- **Removal:** This is the most severe disciplinary action. It terminates employment with the Air Force. Normally, a progression of disciplinary measures (oral admonishment, LOR, suspension) has already been taken in an effort to rehabilitate an employee before management decides to remove the employee. However, if misconduct is extremely serious or the violation of rule and regulation is so flagrant, a removal for the first or second offense may be warranted.
After the supervisor determines the appropriate action, the final step is for the supervisor to prepare the necessary notices. Disciplinary guidance requires that all formal actions are coordinated through Civilian Personnel Flight (CPF) and the Staff Judge Advocate (SJA). The CPF and SJA advise supervisors on whether or not the available information appears to support disciplinary action. The decision to take or not to take disciplinary action remains a supervisory responsibility.

For any action above an oral admonishment, the supervisor needs to submit Douglas Factors to support the action being taken. The Douglas Factors were derived from Curtis Douglas v. Veterans Administration (Merit Systems Protection Board Decision), to ensure that disciplinary actions are taken for good cause, are consistent with those taken in similar situations, and are fair, equitable and reasonable. These factors should be included along with all Memos for Record and supporting documentation when initiating a disciplinary action through the CPF, to be included in the disciplinary action working folder.

Study the Douglas Factors carefully before coming to any conclusions with respect to penalty selection. You may find that some of the factors do not apply to a given situation or may not be of equal weight, but you should at least look at them as a checklist. Before you propose an action, you should ask yourself whether you could support it in light of these considerations.

For actions above a reprimand, the first level supervisor will initiate the disciplinary action as the proposer of the action and the second level supervisor will be the deciding official. In these cases, any employee response (oral or in writing) should be directed to the second level supervisor who will ultimately make the decision of what action to take.

Once official notification of the proposed action is given, you must give the employee seven calendar days to respond to the proposed notice. Extensions can be made if necessary. If the employee responds orally, the supervisor should make a memo for record explaining the employee’s verbal response and have the employee sign. Once the response timeframe has expired, a formal decision notice can be given. All decision notices will be given to the employee in writing.

Generally speaking, most conduct issues begin as small problems. If you deal with them when they first arise, you should be able to avoid having to deal with larger problems later.
SUPERVISOR’S CHECKLIST FOR DISCIPLINARY ACTIONS

✓ **STEP 1** Gather facts, review 971 folder, prepare a memo for record (if necessary), complete the Douglas Factors and contact the Employee Relations Section of the Personnel Flight.

✓ **STEP 2** A “Proposal” letter will be drafted and reviewed by Civilian Personnel and the Staff Judge Advocate (SJA) before delivery to the employee.

  o The letter will include the action proposed, the reason for the proposal, the facts of the case, the employees right to respond and the appropriate timeframe, the employees right to representation, the amount of official time that may be used, and a contact number to the Employee Relations Specialist working the action.

✓ **STEP 3** Privately present the proposed action to the employee:

  o Explain to the employee their right to reply, orally or in writing and that the reply must be received no later than 7 calendar days from date of interview. An extension may be granted when requested in writing if adequate justification is provided. If the action proposed is above a reprimand, explain that the employee should address their reply to the second level supervisor.

  o If an employee requests representation, stop the meeting and allow the employee to exercise this right.

  o If the employee asks for official time to prepare a reply, tell them that a reasonable amount of time will be allowed. Official time must be requested and approved in advance.

✓ **STEP 4** If the employee responds orally, write a memo for record and request the employee sign as well (so all parties understand what was said). Once the timeframe to respond has expired, use the Douglas Factors, facts of the case and the employee’s response, to determine the appropriate action.

  o If the employee response is adequate enough to justify withdrawing the action, inform the Employee Relations Specialist. A letter will be drafted and issued to the employee withdrawing the proposed action. No other action is necessary.

  o If, after looking at all aspects of the case, it is deemed a lower penalty should be applied, contact the Employee Relations Specialist. A letter will be drafted up (and reviewed by SJA) to be presented to the employee as the Notification of Final Decision. Annotate, as appropriate, in the 971 folder.

  o If it is determined that the proposed action is appropriate, contact the Employee Relations Specialist. A letter will be drafted up (and reviewed by SJA) to be presented to the employee as the Notification of Final Decision. Annotate, as appropriate, in the 971 folder.
STEP 5 The Deciding Official will sign the Douglas Factors either as written or with modifications to justify the penalty given (if mitigated down). A copy will be provided to the Employee Relations Specialist to include in the disciplinary file.
SAMPLE ORAL ADMONISHMENT

SUPPLEMENT SHEET - AF FORM 971

Employee Name: ___________________________ Date of Entry: ___________

DISCUSSION OF INCIDENT OR DELINQUENCY

I. Statement of problem:

Event or action that transpired.

EXAMPLE: On 15 Jan 01 John Doe did not report for duty nor did he call in to request an appropriate category of leave.

II. Background facts: (If applicable)

Any circumstances surrounding the stated problem.

EXAMPLE: During roll call on 5 Dec 00 all employees were briefed on proper call in procedures, Mr. Doe was present at the briefing.

III. Employee’s explanation and views (if additional space is needed, continue on either the reverse or a blank sheet of bond paper):

Allow the employee to respond in writing or if an oral response is given, write that response in this area.

EXAMPLE: My phone was disconnected and I couldn’t get a hold of anyone since by the time it was fixed everyone was gone for the day.

IV. Determination of appropriate action:

List the penalty given. When giving an oral admonishment, the words “oral admonishment” must be included. List the timeframe for which this will stay in the 971 folder.

EXAMPLE: After considering your response it is my determination that an oral admonishment is warranted. This oral admonishment will remain in your 971 record for two years from this date. Any further violations could result in more severe disciplinary action.

________________________________________    _______________________
Supervisor’s Signature                  Date

________________________________________    _______________________
Employee’s Signature                  Date
SAMPLE
DOUGLAS FACTORS

EMPLOYEE NAME:
TYPE OF ACTION: RELEVANT FACTORS IN ASSESSING PENALTIES
PROPOSED ACTION:

Source: Curtis Douglas v. Veterans Administration (MSPB Decision)

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, 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.

5. THE EFFECT OF THE OFFENSE UPON THE EMPLOYEE’S ABILITY TO PERFORM AT A SATISFACTORY LEVEL.

6. CONSISTENCY OF THE PENALTY WITH THOSE IMPOSED UPON OTHER EMPLOYEES FOR THE SAME OR SIMILAR OFFENSES IN LIKE OR SIMILAR CIRCUMSTANCES.

7. CONSISTENCY OF THE PENALTY WITH ANY APPLICABLE AGENCY TABLE OF PENALTIES.

8. THE NOTORIETY OF THE OFFENSE OR ITS IMPACT UPON THE REPUTATION OF THE AGENCY.

9. THE CLARITY WITH WHICH THE EMPLOYEE WAS ON NOTICE OF ANY RULES THAT WERE VIOLATED IN COMMITTING THE OFFENSE.

10. POTENTIAL FOR THE EMPLOYEE’S REHABILITATION.
11. MITIGATING CIRCUMSTANCES SURROUNDING THE OFFENSE.

12. THE ADEQUACY AND EFFECTIVENESS OF ALTERNATIVE SANCTION TO DETER SUCH CONDUCT IN THE FUTURE BY THE EMPLOYEE OR OTHERS.

THE ABOVE INFORMATION HAS BEEN CAREFULLY WEIGHED IN DECIDING THAT DISCIPLINARY ACTION IS WARRANTED.

__________________________________________  _______________________
SIGNATURE OF PROPOSER  DATE

__________________________________________  _______________________
SIGNATURE OF DECIDING OFFICIAL  DATE
Drug and alcohol abuse are major problems in the United States, often reaching epidemic proportions in both military and civilian communities. The problem of alcoholism is particularly dramatic because alcohol is available in great abundance to the general public. The economic impact of drug and alcohol abuse cannot be totally determined. Where problem drinking is concerned, it has been estimated that billions of dollars are lost annually in the United States due to illnesses, lost productivity and property damage. To combat this problem among civilian employees, the Air Force established the Civilian Drug and Alcohol Abuse Prevention and Control Program. The governing directive is AFI 36-810, Substance Abuse Prevention and Control. This regulation sets policies and outlines procedures to prevent, reduce and control drug and alcohol abuse and to identify and rehabilitate civilian abusers.

As a supervisor you should be concerned with an employee’s use of alcohol or drugs if it causes an employment-related problem. Possession, sale, or use of drugs or drug paraphernalia by civilian employees on or off duty on an Air Force installation is prohibited. Civilian standards of conduct, performance and responsibility must be met. Drug and alcohol abuse that impairs performance, attendance, conduct, or the mission is not acceptable. Civilian abusers are given consideration and help the same as employees with other health related problems. The first interview at the Substance Abuse Control Office must be on duty time. Sick leave, annual leave, or LWOP is granted for subsequent rehabilitative sessions, medical treatment or other rehabilitative activity.

An employee’s job security or promotion opportunity is not jeopardized by a history of prior alcohol or drug abuse or a request for rehabilitative help, except where there are national/personnel security considerations. Employees are urged to seek information and help voluntarily. All help is given confidentially, except where there are national/personnel security considerations.

Alcoholism and drug abuse are illnesses that directly impair job performance. They can be prevented and treated in a variety of ways. First, it should be noted that supervisors should only zero in on job related conduct and performance (coming to work late, complaints of offensive odor from customers/co-workers). The supervisor does not try to diagnose the cause of the trouble or inquire into the employee’s personal life. As always, counsel the employee and document all unacceptable work performance, attendance and conduct in the 971 folder. Talk to the employee in private, be firm and do not accept ready excuses concerning problems/failures. Tell the employee what is expected and offer help. Ensure the employee understands what is expected to improve the conduct or performance problem. If there is little or no improvement, confront the troubled employee with the fact of his/her behavior and offer him/her the opportunity to get help. Referrals to Mental Health should be coordinated through the CPF. A letter of referral will be given to the employee explaining the reason for the referral and that the initial appointment will be on duty time. Once the forms identifying the problem are completed an appointment can be set.
MEMORANDUM FOR (Employee)

FROM: (Supervisor)

SUBJECT: Letter of Referral

1. This is to advise you that I have observed a serious behavior problem that could affect your employment. On 15 Feb, you were observed falling asleep plus staggering while on the flight deck. When you were brought off the flightline I smelled alcohol about your person and witnessed slurred speech and bloodshot eyes. I am concerned about you, your health, and that this could lead to deterioration of your work performance in the future.

2. With this in mind, I am making an appointment for you with the Mental Health Clinic, Building 46. After the preliminary paperwork is completed I will give you the date and time to report for this mandatory appointment.

3. The purpose of this interview is to inform you of the various base and community services available to assist you. I would like to stress the importance of keeping the appointment. Although entry into a counseling program beyond the initial interview is not mandatory, I would urge you to enter one, as I could initiate more severe disciplinary/adverse action against you if your conduct does not improve within a reasonable amount of time.

4. You will be administratively excused for the initial interview. Any further time spent for counseling during duty hours will be charged to annual leave, sick leave or leave without pay.

________________________________________
Supervisor Name

________________________________________
Title
Options that supervisors have for employees who report “unfit” for duty

- Employees must report for duty ready, willing, and able to work.
  - Employees unfit for work should be removed from the work center for the health and safety of the worker as well as of the mission.
  - Examples of employees that are not ready, willing, and able to work include: intoxicated employees, employees under the influence of drugs (even legal drugs, e.g., Percocet), sleep-deprived employees, and sick employees.

- Supervisors should contact the CPO and the Legal Office for advice in handling employees suspected of being unfit for work.
  - The CPO can be reached at ext 2391.
  - The Legal Office can be reached at ext 2232 and after hours through the On-call Jag Cell Phone at 669-5201. The On-call JAG expects to be called during the middle of the night for any legal issue. Supervisors should not hesitate to call this number.
  - CPO and Legal will ask you to write an MFR of all that you observe about the employee and why you think the employee is unfit for duty.

- Supervisors have three decisions to make when handling employees who are not ready, willing, and able to work.
  - First, the supervisor should decide how to safely remove the employee from the workstation.
  - Do not leave a drunk employee on duty. If the employee is only tired, consider whether office work is appropriate.
  - Find someone else to drive the employee home or hire a cab at the employee’s expense.
  - Second, the supervisor must decide how to annotate the employee’s time and attendance card.
    - Ask the employee to take leave.
    - If the employee lacks leave or has previously reported unfit for duty, consider annotating the timecard with AWOL.
  - Finally, the supervisor must decide whether or not to discipline the employee.
    - Discipline cannot be predetermined. It must be unique in each instance taking into consideration each employee’s individual situation/circumstances and past disciplinary record, if any.
    - As with any offense, there is a range of disciplinary options from reprimand to removal.
    - The charges could include: reporting for duty not ready, willing, and able to work, conduct unbecoming a civilian employee, AWOL, insubordination, assault, or being under the influence of an intoxicant.

- Where appropriate, the supervisor may allow the employee leave to complete rehabilitation, if necessary, or grant leave to heal from an injury.
LABOR RELATIONS

Here at Dyess AFB, we have one union with exclusive recognition, the American Federation of Government Employees (AFGE) Local No. 2356. The Negotiated Agreement between Dyess AFB and AFGE Local No. 2356 explains the respective rights and obligations of the Union, the Employee, and Management. Violation of the Negotiated Agreement can result in an official grievance.

Rights

Simply put, most employees have the right to form, join, or assist the union (or to not do so) free from coercion or retaliation. The union has the right to represent all employees in the bargaining unit (regardless if they are union members) and negotiate with agency management to establish conditions of employment of employees within the bargaining unit and can be present during discussions or meetings between agency managers and bargaining unit employees (see Weingarten Rights below).

Management is given authority to determine the agency’s mission, budget, organization, number of employees, internal security practices, and are granted legal authority to take necessary personnel actions such as: hiring, assigning, directing, disciplining, and rewarding employees (as long as they are carried out in accordance with applicable laws, regulations and negotiated agreements). However, procedures for the exercise of these rights and arrangements that affect employees may be subject to negotiation.

Duty To Bargain

When management wants to make a change affecting an employee’s condition of employment (e.g. personnel policies, practices, working conditions), the union may be entitled to negotiate on the substance of the change itself (substantive bargaining) or may be precluded from doing so because of law, rule, regulation or management rights. Even when the union cannot bargain on the change itself (management exercising a management right, for example), management must give the union reasonable advance notice of the proposed change and the right to request impact and implementation (I&I) bargaining. This type of bargaining concerns procedures that management will use to effectuate the proposed change and appropriate arrangement for employees adversely affected by the change.

Management is normally required to give sufficient written notice to the appropriate union representative of the proposed change and be available, upon request, to bargain over the change prior to its effectuation. If the union does not respond, or does not respond in a timely fashion, it has waived its right to bargain and the proposal can be implemented as outlined in the formal notification. If the union does request negotiations, management must, to the extent possible, maintain the status quo until agreement is reached through the negotiating process.
Rights of Representation (Weingarten Rights)

Pursuant to Section 7114(a)(3) of Title 5, U.S. Code, as added by the Civil Service Reform Act (P.L. 95-454), this is to inform you that the exclusive union must be given the opportunity to be represented at any examination of an employee in the bargaining unit by a management representative in connection with an investigation if:

- a bargaining unit employee has requested representation by the union; and
- one or more management representatives are examining the bargaining unit employee in connection with an investigation; and
- the employee reasonably believes that the examination may result in disciplinary action against him/her.

In cases where the employee requests union representation, you should stop the discussion until the union representative is able to attend.

Grievance and Unfair Labor Practice

Supervisors and managers are the primary representatives of the agency in applying the contract to the many day-to-day situations that arise. Union officials represent the union in the process. When the union or a bargaining unit employee feels that agency officials are not applying the contract provision properly, the agency’s actions are challenged through the filing of a grievance. If the matter is not resolved the union or the agency can refer to an outside party, usually known as an arbitrator, for a binding decision.

An “unfair labor practice” or ULP is filed by the union or the agency for violation of rights guaranteed in the Federal Service Labor-Management Relations Statute. The ULP procedures provided by the Statute are part of the basic mechanisms by which the parties are protected in the exercise of their rights. While a ULP can be initiated by employees, management or the union, most are filed by the union. In many cases when the union alleges a ULP, it is charged against the installation commander, even though the alleged infraction may stem from a first line supervisor’s actions or inaction. The Federal Labor Relations Authority (FLRA) investigates and resolves all complaints of unfair labor practices.

Past Practice

As a supervisor, it is vital for you to realize decisions you make can become a “past practice.” A past practice is nothing more than the way things have always been done. Such practice does not have to be written down in the labor agreement, but can arise on the basis of regular, repeated action (or inaction) on your part.

Generally, the existence of the four following factors will indicate that a past practice exists:

- The practice was clear and applied consistently.
- The practice was not a special, one-time benefit or meant at the time as an exception to a general rule.
- Both the union and management knew the practice existed and management agreed with the practice or, at least, allowed it to occur.
- The practice existed for substantial period of time and it occurred repeatedly.
Normally, you cannot stop an established and accepted past practice without first giving the union notice and allow, if so requested, negotiations to resolve any differences.

**Official Time**

Official time is duty time that is granted to union representatives to perform union representational functions, without charge to leave or loss of pay, when the employee would otherwise be in a duty status.

Official time may be permitted for:

- Contract or mid-term negotiations
- Representing employees who file grievances
- Any proceeding before the Federal Labor Relations Authority (FLRA)

Official time is not permitted for conducting internal union business such as:

- Soliciting membership
- Collecting union dues
- Any matters relating to internal management structure and structure of the union

**Formal Discussions**

A formal discussion is one that is between one or more representatives of the Agency and one or more employees in the unit concerning any grievance or any personnel policy or practice or other general condition of employment. The term “discussion” is synonymous with “meeting” and no actual discussion or dialogue need occur for the meeting to constitute a formal discussion.

The criteria for determining if a meeting is formal includes:

- whether the individual who held the discussion is merely a first-level supervisor, or is higher in the management hierarchy;
- whether any other management representative was present;
- where the meeting took place;
- how long the meeting lasted;
- how the meeting was called (i.e., with formal advance written notice, or more spontaneous and informally);
- whether a formal agenda was established for the meeting;
- whether the employee’s attendance is mandatory; or
- the manner in which the meetings were conducted (i.e., whether the employee’s identity and comments were noted and transcribed).

The union should be given the opportunity to be present and given reasonable advance notice including time, date, place, and subject to be discussed. They should also be given the right to comment, speak and make statements. However, this does not entitle them to take charge, usurp, or disrupt the meeting. Comments by a union representative must be governed by the rules of reasonableness, which requires the respect for orderly procedures.
Discussions that are not formal include:

- Work assignments
- Performance Appraisal
- Counseling or conduct
- Progress reviews
- Performance counseling

**Administrative Grievance Procedure**

Non-bargaining unit employees are not covered under the negotiated agreement and therefore are not subject to the Negotiated Grievance Procedure. The following grievance procedure covers supervisors and those employees not in the bargaining unit: A copy of the Administrative Grievance Procedures can be found on the Civilian Personnel Office web page. You may also contact the Civilian Personnel Office for a copy.

**Informal Dispute Resolution Process**

- An employee may seek informal resolution of a matter before filing a grievance unless the concern involves an action which was effected through a notice of proposed action, the right to respond to the proposal, and a notice of final decision.

- The employee must raise the matter within 15 calendar days of the date of the act or occurrence, or the date the employee became aware of, or reasonably should have become aware of the act or event. The employee may present a matter of concern regarding a continuing practice or condition at any time.

- The employee initially shall present the matter, either orally or in writing, to the immediate supervisor. If the matter involves an action taken by, or a relationship with that supervisor, the matter may be presented to the next level supervisor. The employee must clearly advise the supervisor of the basis of the matter and the personal relief sought.

- A supervisor may not reject the matter for any reason. However, if the supervisor believes the matter is not covered by the AGP, the supervisor will inform the employee. The employee will be allowed to subsequently submit a grievance (under paragraph 4) on the matter if so desired.

- The supervisor to whom the matter has been submitted will attempt to resolve it and provide a decision within 15 calendar days but no later than 30 calendar days after the date of presentation. If that time limit cannot be met, the supervisor will inform the employee (and the employee’s representative, if any) in writing of the date by which a decision will be received and of the right to submit a grievance if a decision has not been received by that date.

- If the employee presents the matter in writing, the informal decision is given in writing. If the matter is presented orally, the decision may be given either orally or in
writing. If the decision is oral, the supervisor should prepare and sign a memorandum for the record documenting the issues and decision.

- **Alternative Dispute Resolution (ADR)**

ADR utilizes mediation as an informal method of resolving disputes, helping parties communicate with each other, encouraging them to create their own solutions instead of referring their problems to a judge, arbitrator or other outside decision-maker. Mediation will be used to resolve Equal Employment Opportunity (EEO) complaints and employee grievances under either the Negotiated Grievance Procedure or the Agency Grievance Procedure and other workplace issues. When an employee requests mediation to resolve a workplace dispute, EEO complaint, or Grievance, the Dyess ADR program manager or a CPF representative will determine whether the issue is appropriate for mediation. If the issue is appropriate for mediation, management participation will be mandatory, if the issue in controversy involves a completed personnel action. If the issue in controversy involves a proposed personnel action, management officials will be encouraged to participate in mediation, but such participation will not be mandatory.

- **Grievance Resolution Process**

  - An employee may file a grievance when a matter is not resolved in the informal process (i.e., the requested relief is not granted or management’s time limit expired with no decision), the ADR process, or where the employee chooses to bypass the informal process because the concern involves an action which was effected through a notice of proposed action, the right to respond to the proposal, and a notice of final decision.

  - If the employee used the informal dispute resolution process described in Section 2, or the ADR process, the employee must file a grievance no later than 15 calendar days from the conclusion of the process. Where the employee raises the matter initially under the grievance resolution process, the 15 calendar day time limit described in the informal dispute resolution process above applies.

  - The employee shall file the grievance in writing with the Civilian Personnel Office who will forward it to the deciding official. The deciding official will be at a higher organization level than the person involved or having a direct interest in the matter being grieved.

- Grievances filed by employees of a tenant organization will be decided by an official in the employee’s chain of command, except where the grievance concerns matters outside the authority of that chain of command.

- Grievances concerning career program issues will be referred to the appropriate career program manager.

- The deciding official will issue a written decision which responds to all issues and provides the reasons for the decision. The final decision will be issued as quickly as possible, but no later than 60 days from receipt of the grievance.
The decision is final except that an employee may request review of the following:
(a) a decision to reject, cancel or otherwise terminate a grievance without a decision on its merits; (b) a decision that did not grant the relief sought when the grievance involved a suspension without pay. At the deciding official’s option, this review may be done by the Air Force Civilian Appellate Review Office (AFCARO) as presently provided by AFI 36-1203, Section C, para 11.7, or by a deciding official at a higher organizational level than the official who made the initial decision. Requests for review are forwarded to the Civilian Personnel Office who will directly forward to the reviewer for a decision. There is no intermediate review.

➢ **Time Frames**

- If extensions are used, a grievance decision must be issued no later than 90 calendar days from the filing or 120 calendar days from the filing if a third party fact-finder is utilized; i.e., an examiner from the DoD Office of Complaint Investigations (OCI). The 120 day calendar days time limit may be extended only when OCI is unable to schedule and complete the grievance examination during this period. In that case, a decision will be rendered no later than 30 calendar days after receipt of the OCI report.

- When calculating time limits under the AGS, the day of an action or receipt of a document is not counted. The latest day of the time limit is counted unless it is a Saturday, a Sunday, a legal holiday, or day on which the employee is not regularly scheduled to work. In those cases, the last day of the time limit shall be moved to the next regularly scheduled workday.

➢ **Written Requirements**

- An employee shall file a grievance in writing. Written grievances must contain:
  - A clear statement of the specific issue(s) and the personal relief sought.
  - A statement that the employee has not filed an appeal or complaint on the same issue under any other appellate or complaint system or with any other agency.
  - Copies of any documents related to the grievance.
  - The name, address, and telephone number of the employee’s representative, if any.

- The deciding official will issue a written decision whenever a grievance is filed and give the reason for canceling the grievance or for granting the personal relief requested.
Activities will establish a grievance file whenever a grievance is filed. Upon request, the grievance file will be made available to the grievant and/or the grievant’s representative for review.

 ➢ Deciding Official Responsibilities

Deciding officials will determine:

- the disposition of issue(s) which may arise in the processing of a grievance, such as whether to cancel or suspend processing of all or a portion of a grievance;
- whether to require an impartial investigation;
- whether to allow the grievant’s choice of representative;
- which issue(s) will be investigated if the grievance is accepted;
- how much official time will be granted to the employee and the employee’s representative.

The deciding official may investigate the grievance. The official may also designate a fact-finder. The official will decide the scope of the investigation; e.g., whether to require a report of fact, a report of facts with analysis, or a report of fact with analysis and recommendations.

 ➢ Face-to-Face Meetings

Whenever possible, the deciding official will personally meet with the employees to clarify facts and issues and to exchange information. The deciding official may designate an individual to perform this function when circumstances warrant.

 ➢ Joining Grievances

The deciding official may join and process together identical or similar grievances provided this does not adversely affect the rights of any employee and joint processing is more effective and efficient. Grievances are identical or similar when the concerns expressed and relief requested are identical or similar.

 ➢ Canceling or Suspending a Grievance

The deciding official may cancel or temporarily suspend a grievance or portion of a grievance for the following reasons:

- at the grievant’s request (cancel or suspend processing the grievance as requested);
- if the grievance is excluded (cancel the grievance);
• if the matter is excluded (cancel the grievance or that portion of the grievance containing excluded matters and advise the employee of any other appropriate forum for resolving the excluded matter).

• if the grievant failed to provide sufficient detail to identify clearly the matter being grieved or specify the personal relief requested (cancel the grievance or suspend processing the grievance until the deficiency is corrected);

• if the grievant requests disciplinary or other detrimental action be taken against another employee (cancel the portion of the grievance);

• if the grievant fails to comply with applicable time frames and procedures provided in the AGP (cancel the grievance if time frames are not met or, if otherwise procedurally deficient, cancel the grievance or suspend processing until the deficiency is corrected);

• if the grievant files a formal appeal, complaint, or other challenge on the same matter under this procedure or under another formal dispute resolution process identified above (cancel the portion of the grievance pending or resolved in another process).

➢ Publication

The Civilian Personnel Office will publish and make copies of this procedure available to the employees.

➢ Program Evaluation

The Civilian Personnel Office will periodically evaluate the implementation of this procedure to ensure the provisions of the AGP are met.

➢ Relationship to Other Systems

There are a number of other avenues available to employees to resolve matters of concern. For example, employees may appeal certain adverse personnel actions to the Merit Systems Protection Board; employees may file complaints of discrimination with the Equal Employment Opportunity Commission; members of bargaining units may grieve matters of concern covered under a grievance procedure negotiated by their union. These avenues of dispute resolution are established by statute and government-wide regulation and provide for a decision by outside third parties.
Workers’ Compensation is a very broad and complex subject but it is important to remember that there is always help. The Civilian Personnel Office staff is available to answer questions and offer advice. If, for any reason, you have suspicions regarding a claim, contact the Injury Compensation Program Administrator at extension 2394, or the compensation specialist at 2644.

- **Traumatic Injury (Form CA-1, Notice of Traumatic Injury):** If an injury occurs in the course of one work shift, the condition is a traumatic injury. For example, cut finger, tripped and fell, or hit by forklift. Sometimes the reported condition may not seem like an injury, such as back or knee strain, but, if the employee identifies the condition as occurring in the course of one shift, the condition is still considered a traumatic injury. To report these injuries fill out a form CA-1 in the Electronic Data Interchange (EDI) system. To access the EDI systems go to [https://diucs.cpms.osd.mil/forms/frmservlet?config=SAFER_ALONE_S](https://diucs.cpms.osd.mil/forms/frmservlet?config=SAFER_ALONE_S). EDI will assure that the form is completed correctly and in a timely manner.

- **Occupational Disease (Form CA-2, Notice of Occupational Disease/Illness):** If the condition happened because of events on more than one work shift, the condition is an occupational disease. Examples: back strain from unloading trucks for the past two weeks; carpal tunnel from daily use of computer keyboard, etc. To report these injuries fill out a form CA-2 in the Electronic Data Interchange (EDI) system. To access the EDI systems go to [https://diucs.cpms.osd.mil/forms/frmservlet?config=SAFER_ALONE_S](https://diucs.cpms.osd.mil/forms/frmservlet?config=SAFER_ALONE_S). EDI will assure that the form is completed correctly and in a timely manner.

**NOTE:** Your employee may report a recurrence of a prior injury or disease and state the desire to file for benefits under the prior claim. A recurrence is defined, as an onset of symptoms related to the original injury (as determined by medical provider) or disease for no explainable reason other than there was a prior medical condition. If a new event or series of events (i.e., bent over to get tool, moved boxes, etc.) causes a return in symptoms, the condition must be treated as a new injury or disease as described above even if the exact same part of the body is affected.

If immediate care is required, make arrangements for the employee to go to the nearest hospital. If the employee cannot safely drive help arrange transportation or if necessary call an ambulance. Make sure the injury is identified as workers’ compensation injury and do not provide private insurance information so the billing doesn’t become a problem.

If the situation does not require immediate treatment through an emergency room, have the employee contact Civilian Personnel, extension 2394/2644, during normal duty hours and a compensation specialist will schedule an appointment with a physician of the employees choice (who accepts workers’ compensation as payment).

Provide the employee with a CA-16, Authorization for Examination or Treatment, if emergency medical care is needed and the care is being sought within the first 72 hours following injury. If you are seeking treatment outside the 72 hour window a CA-20 should be used. You may also
provide the employee with a form CA-17, Duty Status Report. This form informs the doctor of the type of physical requirements the employee regularly performs and provides the doctor a means to communicate to the employee and the supervisor what they can do safely upon their return to duty.

Compensation paperwork must be processed through you, CPO, and the Department of Labor (DOL) within 10 days from the day the employee notifies you of the injury. Upon completion of the automated documents, provide a copy to the employee and bring a copy signed by the supervisor, any witness and the employee to the CPF. Both signed and electronic copies must be forwarded to DOL. It is the supervisor’s responsibility to provide the signed copy to CPO within three calendar days. It is always prudent for the supervisor to conduct an investigation of the incident that caused the injury. Submit any additional paperwork (CA-16, CA-17, CA-20, witness statements, challenges, etc.) as soon as they become available.

You, or your employee, may receive medical updates, bills, etc. on your injured worker after the original claim has been filed; bring all documents to the CPO immediately. Not providing documentation in a timely manner may hinder the acceptance of the employee’s claim.

**Continuation of Pay (COP)**

Your employee may be eligible for uninterrupted pay beyond the date of injury without charge to leave. This benefit is called continuation of pay and is granted if the following conditions are met:

- the employee suffered a traumatic injury and filed form CA-1 within 30 days from the date of the injury;

- the employee has provided valid medical documentation to show the inability to work in any capacity due to the injury;

- the absences due to the injury began within 45 days from the date of injury;

- the employee’s absences may not exceed a total of 45 calendar days of COP. COP counts in whole day increments. If the employee works partial days, but is entitled to COP for the remainder of the work day, the few hours of COP count as a whole day of the 45 day entitlement, although actual hours should be recorded on the timecard. Please contact the CPF if you have any questions concerning the authorization of COP.

The circumstances surrounding the reported injury or disease may arouse your suspicions that the condition is not work-related. Your investigation of the incident that caused the injury should alleviate those suspicions, but if not, remember that as a supervisor, you are obligated to assist your employee in processing their paperwork in a timely manner, and your failure to do so can be punishable under the law. Neither you nor the agency can determine if an employee should file a claim or receive benefits. DOL has the sole authority to approve or disapprove claims and to determine if benefits will be paid.

Rather than impeding the employee’s rights to file a claim, gather witness statements (i.e., if anyone heard the employee state that he hurt himself over the weekend, the employee works another job, etc.) and facts to challenge the claim. The sooner you accomplish this the better,
because once Department of Labor approves a case or pays benefits, it is difficult, if not impossible to have them change their decision. If you plan to challenge a case, but don’t have time to gather your information before you must process the claim paperwork, contact the CPO to formally request an extension (normally 30 days) from Department of Labor so they won’t adjudicate the claim without the additional facts.

If you disagree with the claim, you can “controvert” the payment of COP, meaning that you would notify CPO of your decision to controvert and the reasons why. You would then notify the employee that COP will not be paid until the DOL has accepted the claim. If the claim does get accepted, the COP (if it meets the above criteria) will need to be paid (timecard would need to be corrected). The actual controversion package will be submitted by CPO to DOL, so immediate notification of the Compensation Specialist that you are controverting the COP is essential.
CLASSIFICATION


 The NSPS classification process determines a Career Group, Pay Schedule, Pay Band, Occupational Code and Title for work being performed.

 Title 5 classification is the correct determination of the Pay Plan, Title, Series and Grade of civilian positions. This is accomplished by comparing the required duties, responsibilities and qualifications to criteria found in the respective Classification Standard. These Standards are issued by the Office of Personnel Management and must be used to classify federal positions.

 As a supervisor, you play a vital role in the Title 5 classification process. Accurate classification depends on accurate Core Personnel Documents (CPDs). Since you assign work to subordinate employees, it follows that you are responsible for preparing the respective CPDs. These documents include duty statements, performance standards and recruitment information. You have a responsibility to ensure they remain accurate. You should also be familiar with the classification standards for your positions and be able to defend the proper classification. Classification standards are available online at www.opm.gov (under classification) or you may contact the Civilian Personnel Office for assistance.

 NSPS position descriptions are developed by Career Field Managers in conjunction with HR Personnelists. Very minimal supervisory involvement is required locally in development of NSPS position descriptions. DoD will eventually develop standardized position descriptions (SPD) for all NSPS positions. NSPS SPD listing resides at: http://ask.afpc.randolph.af.mil/docs/scpd/SPDDocs/NewSPDsPosted.xls

 Preparing a Core Personnel Document

 CPDs are written in three different formats (Federal Wage System Format, Factor Evaluation and Narrative) depending on the type of work performed. Templates for each format may be found at http://ask.afpc.randolph.af.mil/main_content.asp under Classification Tools.

 The Air Force Personnel Center has developed a library of Standard Core Personnel Documents (SCPDs) applicable to many Air Force positions. These may be found at http://ask.afpc.randolph.af.mil/main_content.asp under SCPD Library. The SCPD Library is an excellent labor saving device for supervisors and should be your first stop for help in developing CPDs. In many cases, you will find the SCPD can be applied to
your position without any changes. It is AF policy to use these SCPDs to the maximum extent possible.

- When you have completed development of your draft CPD, you should sign the supervisory block, certifying to its accuracy, and send it to the CPF with a Request for Personnel Action. The Classification Specialist will contact you if any additional information is required. If the position is encumbered, the personnelist may want to conduct a position audit to obtain a better understanding of the work. After the CPD has been classified by the CPO, you will receive a final copy for your records.

- You should review your CPDs at least annually to ensure they remain accurate and current. You should also promptly notify your Classification Specialist regarding any significant (grade controlling) changes in duties or responsibilities.

**Fair Labor Standards Act (FLSA)**

- The FLSA is intended to provide overtime entitlements to lower graded employees. All WG and WL employees and most nonsupervisory employees below the grade of GS-9 are covered by the FLSA. These are “Non Exempt” employees. Most supervisory employees and employees in grades of GS-11 and above are not covered by the Act. These are “Exempt” employees. It is important that you know whether your employees are Exempt or Non Exempt. This information can be found on the upper right corner, first page, of the CPD.

- The FLSA provides for minimum standards for wages and overtime entitlements as well as travel time and pay during non work status time and specifies administrative procedures by which covered work-time must be compensated.

- It is your job to be aware of the hours being worked by all your employees, particularly in the case of Non Exempt employees. You need to take positive steps to ensure they are not performing work outside their regular shift unless you, or higher-level management, have ordered/authorized the work to be done at that particular time. This includes all necessary follow-up to ensure that your instructions regarding overtime work are carried out. Supervisors may be disciplined if they direct, expect, or allow employees to work without compensation.

- Exempt employees may work overtime without compensation if they so desire; however, they may not be directed or expected to work overtime without compensation.

- If you have specific cases in which you cannot determine the specific entitlement or need assistance determining what should be paid, contact the Civilian Personnel Office for assistance.

AFFIRMATIVE EMPLOYMENT

When it is officially known that an employee will be leaving, the first step is for you to have a Standard Form 52, Request for Personnel Action, prepared requesting to fill the vacant position. Information on how to complete the form can be found at http://ask.afpc.randolph.af.mil/main_content.asp under the Guide to Preparing a SF 52. Once you have approval to fill the position, the SF 52 is submitted to the CPO and married up with recruitment actions that may have already been initiated. This is an electronic form, so if you don’t have access to it, you will need to make arrangements with the CPO to effect the action.

Merit Promotion Program

The underlying principle of the Air Force Merit Promotion Program is the identification, qualification evaluation, and selection of candidates made without regard to political, religious, labor organization affiliation, marital status, race, color, sex, national origin, non-disqualifying physical or mental handicap, or age and shall be based solely on job-related criteria in accordance with legitimate position requirements.

The Merit Promotion Program is directed toward:

- contributing to the accomplishment of mission goals by staffing positions with high-quality employees;
- providing career opportunities for employees and ensuring that all employees are fully informed of those opportunities;
- bringing to the attention of management high-quality employees who have the capacity to perform in more responsible assignments;
- fostering and facilitating the mobility of employees in the interest of broadening their experiences and increasing their qualifications;
- ensuring the maximum utilization of employees in positions for which they are best qualified;
- ensuring that the skills, qualifications, achievements, and promotion potential of employees are recognized and fairly considered in the staffing process;
- encouraging employees to improve their performance to develop their knowledge, skills, and abilities.

A sound merit promotion program properly administered and fully supported by management officials and employees at all levels is essential to the staffing of an effective and highly motivated civilian work force.

Interview Question Guidelines

- Once a list of candidates has been compiled an interview process may be necessary. There are a few good tips when interviewing employees. The following guidance has been provided to assist you in establishing your interview questions. You may also access the AFPC website at http://ask.afpc.randolph.af.mil/main_content.asp on appropriate and non-appropriate questions.
• What happens in an interview? Candidates are asked questions about their experience, training, etc., that is pertinent to the job to be filled. Questions should deal with experience, training, or some other concrete type of answer from the candidate. These answers should provide evidence of whether the candidates possess the knowledge, skills and abilities (KSAs) necessary for successful accomplishment of the position duty requirements. For example, the KSA of “ability to give oral presentations to large groups” may be one to be examined in the interview. A good interview question might be “What experience do you have giving oral presentations in front of large groups?” In the questioning, the interviewer could ask what the size of group addressed was, if the audience was hostile, and to what extent the candidate participated in preparing the presentation. This question is objective, it doesn’t lead the candidate to an answer, it seeks to find enough information for the interviewer to make a decision, and it is job related. Incorrect questions for this KSA would be: “Do you have trouble speaking before large groups?” or “Can you speak well?”

• Do not formulate hypothetical cases and ask the candidate to provide possible solutions. This is a test! For example, a KSA that is typically found in a supervisory job is the “ability to delegate your work”. A good interview question would be “What experience do you have in delegating work, what was the workload, how many subordinates did you have, what were the situations?” Do not ask; “What would you do in the following situation – You have 1,000 cartons to deliver in two days time; your supply clerk is on leave; how do you get the cartons delivered?” This type of test question is not objective and there is no right answer.

• Do not ask questions that have an obvious answer and provide no means for distinguishing between candidates. The question, “Do you like working with people?” has an obvious response. A question such as “What experience have you had in dealing with the public?” would be more useful.

• Some questions have been included in so many interviews that candidates may expect them. These questions are such as “Why do you want this job?” There is no right answer. Candidates tend to have prepared answers to these kinds of questions aimed at what they think interviewers want to hear. This type of question adds nothing to the interview.

• The vocabulary used in interview questions should be geared to the level of candidates. Specialized terminology or organizational abbreviations, which may intimidate or confuse the candidate, should not be used.

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**Interview Subject Guide**

**SUBJECT**  **ILLEGAL QUESTIONS**

Age  Any question, which tends to identify applicants 40 to 64 years of age. (The CPF will verify age if necessary to ensure that legally set minimum/maximum age limits are met.)
<table>
<thead>
<tr>
<th>Section</th>
<th>Question</th>
</tr>
</thead>
<tbody>
<tr>
<td>Citizenship</td>
<td>Are you a citizen of the United States? When did you acquire citizenship? Are you native born or naturalized? (Again, the CPF will verify citizenship requirements.)</td>
</tr>
<tr>
<td>National Origin</td>
<td>What is your national origin? What language is spoken in your home? What is your native language?</td>
</tr>
<tr>
<td>Race/Color</td>
<td>Any comments or questions which directly or indirectly relate to race or color.</td>
</tr>
<tr>
<td>Religion</td>
<td>What church do you attend? What religious holidays do you observe?</td>
</tr>
<tr>
<td>Sex</td>
<td>Any inquiry into gender. What are your plans regarding having children in the future? Do you mind having a male/female supervisor? Can you work with a group of men/women?</td>
</tr>
<tr>
<td>Military Discharge</td>
<td>Were you honorably discharged from military service? (The CPF will verify.)</td>
</tr>
<tr>
<td>Economic Status</td>
<td>Do you have a good credit rating? Do you have any trouble with bill/collection agencies?</td>
</tr>
<tr>
<td>Security Clearance</td>
<td>Do you have a secret/top secret/other security clearance? Note: If the position requires a certain type of security clearance, this condition can be stated.</td>
</tr>
<tr>
<td>Personal Plans</td>
<td>Do you have plans to live in this area long?</td>
</tr>
<tr>
<td>Participation in Certain Activities</td>
<td>Do you plan to take saving bond, contribute to the Combined Federal Campaign, join the coffee club, join the Air Force Association?</td>
</tr>
<tr>
<td>Marital Status/Family</td>
<td>Are you married/divorced/separated/widowed? With whom do you live? Do your children live with you? Is your husband/wife in the military? (The CPO may verify if family members work at the installation to fulfill OPM requirements.)</td>
</tr>
<tr>
<td>Education</td>
<td>Any questions asking specifically the nationality, racial, or religious affiliation of a school. Any question asking for education level in general, not relating specifically to the job being filled. (Questions relating to the job to be filled and how the applicant’s academic, vocational or professional education may fulfill the KSAs are acceptable.)</td>
</tr>
<tr>
<td>Organizational Affiliations</td>
<td>To what organization, societies and clubs do you belong? Do not include any whose name or character, indicate the race, religion, creed, color, national origin, or ancestry of its member. (Questions related to the job to be filled and how the candidate’s participation in the organization may fulfill KSAs are acceptable.)</td>
</tr>
<tr>
<td>Work Schedule/Travel</td>
<td>Any questions relating to child care, ages of children or other non-job related areas. (If the job to be filled has special requirements – travel, overtime, unusual work schedule – these conditions may be stated.)</td>
</tr>
</tbody>
</table>
Miscellaneous Any inquiry that is not job related or necessary for determining a candidate’s possession of KSAs. (A statement can be made that any misstatements or omissions of significant facts may be cause for nonselection.)

It is hoped this information will make the preparation of interview questions easier for you as the selecting supervisor. The CPO Staffing Specialists are always available for assistance in this matter when needed.

What happens when I need to fill a vacancy?

Vacancy Planning
Vacancy planning is anticipating and using all available flexibilities and strategies to maintain your workforce. Your Civilian Personnel Staffing Specialist/Assistant can help you through this process by further explanation of strategies and helping you find easier ways to fill your vacancies.

Some of your vacancy planning responsibilities are:

- Determining a valid vacancy exists
- Initiating the fill request action
- Defining and capturing the work to be performed
  - Understanding the job, its functions, duties, responsibilities, and skill requirements
- Ensuring there is an accurate core document or position description
- Considering issues that may impact hiring, such as:
  - Local activity requirements
  - Bargaining unit agreements
  - Funding
  - Hiring considerations
    - Internal or external recruitment needs
    - Developmental or journey level
    - Duration of work (temporary or permanent)
    - Affirmative action goals
    - Work schedule (full-time, part-time, seasonal, intermittent)
- Mandatory placement programs:
  - DoD Priority Placement Program (PPP), Reemployment Priority List (RPL) and, Interagency Career Transition Assistance Plan (ICTAP)
- Area of consideration for advertising (availability of applicants)
Candidate Referral Certificate and Making the Selection

The referral certificate will be issued by the Human Resource (HR) specialist at AFPC. The certificate will contain the names of qualified candidates in alphabetical order. It is valid for 45 calendar days. Please be aware that if a selection is not transmitted to the HR POC by the expiration date, the Request for Personnel Action (RPA) will be returned. If you desire to continue recruitment for the same position a new RPA must be submitted to AFPC.

When selecting someone for a vacancy, the selecting official’s task is to select the individual who is best suited for the position from among a list of qualified eligible candidates.

Remember to:

- Compare all candidates with the same job related criteria
- Consider awards, training, and education related to the vacancy
- Make your decision based upon job related requirements
- When available, use information such as:
  - The candidate's application/resume
  - Previous supervisor's recommendations
  - Performance Evaluations
  - Candidate interviews (optional in some instances)
- Complete a Pay Setting Decision Tool and forward to the NSPS Advisor in the CPO for coordination and Pay Pool manager approval before setting pay of any NSPS covered position.

The Post-Selection Process

Please annotate up to three selections. This will help expedite the process should your first selectee decline the job offer. The AFPC staffing specialist that issues your referral certificate will include specific instructions on this process.

The pre-employment actions necessary to bring a new employee on-board may include some or all of the following:

- Verifying appointment eligibility
- Verifying veterans preference
- Verifying required training, certifications or license
- Verifying suitability to work for the Air Force
- Scheduling pre-employment physical exams
- Providing security offices with pre-employment security documents
- Contacting Personal Reliability Program and Drug Program coordinators
- Making a final job offer
- Providing the selectee with appropriate pre-processing forms
- Arranging for entry to the various facilities
• Arranging for a sponsor
• Pre-employment processing

All required pre-inprocessing must be accomplished prior to an entrance on duty and inprocessing date being discussed or established. A Staffing Specialist/Assistant at AFPC always makes tentative and final job offers. With all this stated, when it is within your control, plan enough lead-time to allow for all phases of the recruitment process to occur before the vacancy adversely impacts your mission.

**What are my hiring options?**

The following list provides a brief description of internal and external hiring options. Contact your servicing Civilian Personnel Staffing Specialist/Assistant for more information on these options.

NOTE: Name requests are options available to managers for any of the following hiring avenues listed.

**Internal Candidates** (current federal employees within Air Force):

• **Detail**: Temporary assignment to a position, at the same, lower, or higher grade. No change in pay.
• **Reassignment**: An assignment to a position at the same grade.
• **Change to Lower Grade**: An assignment to a position at a lower grade.
• **Promotion**: Temporary, term, or permanent. Some temporary promotions may be made without competition among applicants.
• **Career Ladder**: Restructured positions that are filled in a manner to allow an employee to develop, through training, to the journey level.

**External Candidates** (the general public, former federal employees or current federal employees from a different agency):

• **Reinstatement eligibles**: Former federal employees who may be hired based on a previous permanent appointment.
• **Transfer**: Movement from one federal agency to another. May or may not involve a grade change.
• **Delegated Examining Authority**: Authority delegated to AFPC to issue an announcement open to the general public (not prior active duty or permanent federal employee).
• **OPM Registers**: Vacancy announcements issued by OPM that are open to the general public (not prior active duty or permanent federal employee). OPM charges a fee for this service with the hiring activity providing the funding required.
• **Temporary Appointment Authority**: Appointments made to fill short-term position not expected to last more than one year. The appointment may be extended for a maximum of one additional year.
• **Term Appointment**: An appointment made for special projects/workload lasting for more than one year but not exceeding a total of four years.
• **Former Overseas Employees**: Appointments that may be made of eligible employees returning to CONUS.
• **Veteran’s Recruitment Appointment (VRA)**: An authority to hire Vietnam era and certain post-Vietnam era veterans.
• **Veteran's Employment Opportunity Act (VEOA):** An authority to appoint an eligible veteran who may not otherwise be eligible for other appointments.
• **Disabled Veterans:** Veterans who have a current notice of a service connected compensable disability of 30% or more from the VA.
• **Persons with Disabilities:** Facilitates the hiring of individuals who are severely handicapped.
• **Student Educational Employment Program:** Student programs where the student attends school and works when not in school.
• **Interchange Agreements:** Allows certain employees of one federal personnel system to move to another federal personnel system (e.g., DOD Non-appropriated Fund to Appropriated Fund).

**What is the Stopper List, PPP, RPL, ICTAP?**

These programs minimize the adverse effects on federal civilian employees, who, through no fault of their own, are affected by management-initiated actions. Mandatory placement program requirements must be followed when a vacancy to be filled is subject to one or all of them.

• The Department of Defense (DoD) Priority Placement Program (Stopper List or PPP) is a placement program for employees adversely affected by actions such as Reduction-In-Force (RIF), base closure, contracting out, and transfer of function. When a vacancy occurs, well-qualified personnel, who have pre-registered in a program, may match the requirements of your vacancy. Registrants must be considered and sometimes selected before any recruitment sources can be pursued.
• PPP is the appropriate program for placement of employees being RIFed, overseas returnees, employees on retained grade, and spouses of active duty military members and federal civilian employees.
• The Reemployment Priority List (RPL) is a statutory program that requires agencies to give reemployment consideration to former competitive service employees of an agency separated by RIF or employees who have fully recovered from a compensable injury after more than 1 year. RPL registrants must be considered before certain recruitment sources.
• The Interagency Career Transition Assistance Plan (ICTAP) is a government-wide placement program requiring activities to give placement consideration to well-qualified displaced employees (e.g., impacted by RIF) from other Federal agencies that apply for vacancies the agency is filling from outside its current workforce.

Your servicing Personnel Staffing Specialist/Assistant can provide more information, advice, and guidance regarding these programs.
TRAINING AND DEVELOPMENT

Annual Survey for Civilian Training Requirements

Determining training needs is the first step in the training process. The effectiveness of Air Force training and development programs is dependent on the thorough and conscientious determination of all civilian training needs. The purpose of the annual survey is to identify specific training requirements for all categories of training to be conducted during the subsequent fiscal year. Supervisors need to look first at how best the mission can be accomplished, and what role training has in that improved mission accomplishment. Examine the function, the jobs, the personnel, and move forward, separating possible training solutions from other ways of resolving performance problems and improving productivity and the quality of work. Reasons for training may include:

- A result of mission or program change
- A result of new technology
- A result of new work assignment
- Improve present performance
- Meet future staffing needs
- Develop unavailable skills
- Trade or craft apprenticeship
- Orientation
- Adult basic education

Prioritizing and Ranking Training Needs

Once training and development activity needs are identified, they must be prioritized and ranked. Priorities are assessed based on the following variables and needs:

- Timing
- Cost Benefit Ratio
- Situation and Environment

Priorities are ranked on the following three designations:

Priority 1  Training to be completed in immediate cycle so as to avoid an adverse mission impact.

Priority 2  Training deferred beyond immediate cycle would have an immediate adverse impact on the mission over the intermediate term.

Priority 3  Training deferred beyond immediate cycle would have little immediate adverse impact on the mission but would delay improving the present mission accomplishment.
Selecting Methods and Sources of Training

Because of the strong demand of training resources and the budgetary constraints on funding for formal training, when selecting methods, the following should be considered:

- On the job
- Other base-level training
- Air Force training
- DoD training
- Other government training (OPM, etc)
- Nongovernmental training (colleges, universities)

When considering sources of training, supervisors should consult with the training specialists as they maintain a comprehensive library of facilities providing training related to the missions of the serviced organizations.

Approval of Training Requirements

Training needs thus identified are reviewed, evaluated and approved by the Civilian Personnel Office and the Management Training Committee. The information provided by all organizations helps to build an installation-wide training plan. This plan is crucial for planning, controlling, reporting, and budgeting the Civilian Budget not only at base level, but also at major command, HQ USAF, and even higher levels.

Supervisors are the starting point. If they have not determined needs properly, the information reported during the Annual Survey is not of much value. If supervisors do not report their needs, then the budget requests will be inaccurate, and money that is later approved and sent down through channels will not be sufficient to meet those needs.

Evaluating the Training

The final step in the process is the evaluation of training. The evaluation of the training received is an area in which management and the CPO must become more involved. Air Force requires a “bottom line” assessment of training in terms of dollars saved, time saved or better utilization of resources. Evaluation data is useful in:

- Determining performance and productivity improvements
- Making program changes or modifications
- Keeping management informed of training results and activities
- Formulating future plans for training and development
- Providing information to higher headquarters

Self-Development

Self-development is defined as training or development in which the total resources come from the employee; that is, the employee pays for any related expenses and takes the course on his/her time and considered a source of training. Self-development is the responsibility of each individual employee. Employees should recognize management’s interest and support in their efforts to improve their abilities and skills through self-development. Supervisors are required to
support and encourage employee self-development efforts. Within the Air Force, employees are encouraged to use agency resources, which are appropriate for self-study, such as the base library or correspondence courses directly related to many career fields in the Air Force. The Base Education Office and the surrounding area offer ample opportunities for self-development at several colleges and universities, which conduct evening programs. Self-development is not necessarily limited to attendance at formal training programs, but may also consist of participation in community activities, professional organizations, meetings, and social activities where speaking ability or human relations experience broadens one’s outlook.

**Training Misuse**

- **Do not use training when a personnel problem occurs.** The truth is that most personnel problems do not have a training solution. For example, when an employee is not performing the job in an acceptable manner, the probability is that the solution is to punish the good worker and reward the poor one when both need the training.

- **Do not put the cart before the horse.** Supervisors should look first at the work that needs doing, and next, the skills that are available to do that work. Only at that time, if there is a gap between what needs doing and what is getting done, can supervisors decide whether training can help fill the gap.

- **Do not use training as a reward.** Many supervisors look first at the training that is available, especially the desirable or “fun” training, and the subordinates in their office and which of these people deserve to get the benefit of that desirable training. The result is that employees themselves often determine who gets the training, and supervisors second the motion, rewarding long and faithful service, or using training as a substitute “award”. Or worst of all, supervisors let the aggressive employees locate and successfully push for their own training instead of accepting the responsibility for determining training needs.

**Approval of Training Requests**

All training for civilian employees, regardless of the funding source, must be reviewed and approved by the Civilian Training Committee. A DD Form 1556, Request, Authorization, Agreement, Certification of Training and Reimbursement must be used to authorize all training of eight hours or more, even if the training is at no cost to the government.

A DD Form 1556 (Abbreviated) is required for all training that involves any cost to the government. Costs include direct (tuition, books, registration fees) and indirect (travel, per diem) training costs for civilian employees in government facilities, non-government facilities and attendance at meetings. If the purpose of attendance at a meeting or conference is not primarily for training, organizational base funds may be used without documentation on a DD Form 1556.

Supervisors are reminded that all training must be based on the need to either obtain or improve the knowledge, skills, and/or ability the employee needs in order to perform the duties required in performance of the position they currently hold. Competitive procedures must be followed in selecting employees for training or developmental assignments that may serve to enhance promotional opportunities.
EQUAL EMPLOYMENT OPPORTUNITY

- It is Air Force policy that complaints of discrimination because of race, color, religion, sex, national origin, physical or mental handicap, age, sexual harassment, and reprisal for participation in a protected EEO activity, are given prompt and fair consideration and that every effort made to resolve them satisfactorily. Civilian employees and applicants are not impeded and are free from restraint, interference, coercion, discrimination, or reprisal. The governing directives for discrimination complaints are Air Force Instruction (AFI) 36-1201 and 29 CFR 1614.

- Complaints of discrimination are processed by members of the EEO counseling staff, headed by the EEO Manager.

- EEO counselors do not represent either party in the dispute. Their job is to establish an open and objective channel through which questions may be raised, discussed, and answered. Whenever possible, problems are resolved on an informal basis. EEO counselors are trained to inquire into all facts surrounding the claims. If the processing of an informal complaint produces information concerning a correctable problem, it is brought to the attention of those who can correct it. Employees and applicants have two rights, which are scrupulously protected: the right to anonymity, if requested during the informal stage, and the right to have a representative present when the counselor interviews them.

- Those who are alleged to having discriminated against someone likewise have rights, which are similarly protected. The counselor will advise them that they have been named or identified by a complainant, the nature of the claim made and the right to have a representative present during the interview.

- Civilian employees who feel they have been discriminated against because of race, color, religion, sex, national origin, physical or mental disability, age, sexual orientation, or reprisal must contact an EEO counselor within 45 calendar days of the alleged offense or when they become aware of the alleged offense, or personnel action.

BE SMART

In cases in which a subordinate employee alleges harassment of any kind, managers and supervisors can remember the proper response by recalling the acronym “Be SMART.”
“Separate and Investigate.” Specifically, the manager or supervisor should separate the alleged harasser from the person who was harassed, and investigate the complaint.

“Maintain confidentiality” of both the complainant and the accused harasser.

“Afford the employee the right to seek relief.” This means that the complainant should in no way be discouraged from filing a complaint with the EEO office, or any other authority.

“Retaliation must not occur.” The fact that an employee complained of harassment should in no way affect the manager or supervisor’s dealings with the employee.

“Take appropriate action based on the circumstances.” This means that the manager or supervisor should not simply ignore the complaint, but consult with the EEO office, Legal Office, Civilian Personnel, or appropriate authority to determine the proper action.

Managers Beware: The failure of managers to properly respond to threats against employees can result in disciplinary action being taken against the manager. A manager who fails to adequately deal with a threat made against an employee has failed in his or her responsibility to provide for the safety of the employee and could face a serious disciplinary action as a result.

Further, managers should always be on the lookout for a pattern of behavior that may present a safety risk for other employees, such as veiled threats of harm, harassing or aggressive behavior.
# ALPHABETICAL LISTING OF TOPICS

<table>
<thead>
<tr>
<th>TOPIC</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrative Grievance Procedure</td>
<td>55</td>
</tr>
<tr>
<td>Advanced Annual Leave Request (Sample)</td>
<td>12</td>
</tr>
<tr>
<td>Advanced Sick Leave Request (Sample w/Medical Information)</td>
<td>15</td>
</tr>
<tr>
<td>Affirmative Employment</td>
<td>65</td>
</tr>
<tr>
<td>Air Force Civilian Personnel Publications/Websites Index</td>
<td>5</td>
</tr>
<tr>
<td>Awards</td>
<td>38</td>
</tr>
<tr>
<td>Civilian Personnel Flight Directory</td>
<td>3</td>
</tr>
<tr>
<td>Classification</td>
<td>63</td>
</tr>
<tr>
<td>Continuation of Pay</td>
<td>61</td>
</tr>
<tr>
<td>Discipline and Adverse Actions</td>
<td>41</td>
</tr>
<tr>
<td>Douglas Factors (Sample)</td>
<td>47</td>
</tr>
<tr>
<td>Equal Employment Opportunity</td>
<td>75</td>
</tr>
<tr>
<td>Interview Question Guidelines</td>
<td>65</td>
</tr>
<tr>
<td>Failure to Perform Letter (Sample)</td>
<td>36</td>
</tr>
<tr>
<td>Fair Labor Standards Act (FLSA)</td>
<td>64</td>
</tr>
<tr>
<td>Labor Relations</td>
<td>52</td>
</tr>
<tr>
<td>Leave Administration</td>
<td>11</td>
</tr>
<tr>
<td>Letter of Referral (Sample)</td>
<td>50</td>
</tr>
<tr>
<td>Merit Systems Principles</td>
<td>7</td>
</tr>
<tr>
<td>Oral Admonishment (Sample)</td>
<td>46</td>
</tr>
<tr>
<td>Performance Improvement Plan (PIP – Sample)</td>
<td>37</td>
</tr>
<tr>
<td>Performance Management</td>
<td>29</td>
</tr>
<tr>
<td>Prohibited Personnel Practices</td>
<td>8</td>
</tr>
<tr>
<td>Quick Reference (Time and Attendance)</td>
<td>27</td>
</tr>
<tr>
<td>Rights of Representation (Weingarten Rights)</td>
<td>53</td>
</tr>
<tr>
<td>Substance Abuse</td>
<td>49</td>
</tr>
<tr>
<td>Supervisor Checklist for Disciplinary Actions</td>
<td>44</td>
</tr>
<tr>
<td>Supervisor’s Employee Folder and Brief (AF Form 971)</td>
<td>9</td>
</tr>
<tr>
<td>Time and Attendance (Helpful Hints)</td>
<td>24</td>
</tr>
<tr>
<td>Training &amp; Development</td>
<td>72</td>
</tr>
<tr>
<td>Useful Websites</td>
<td>6</td>
</tr>
<tr>
<td>Workers’ Compensation</td>
<td>60</td>
</tr>
</tbody>
</table>