

3 FAH-2 H-130 PERSONNEL FUNCTIONS

(TL:FSNH-026; 08-20-2003)
(Office of Origin DIR)

3 FAH-2 H-131 POSITION CLASSIFICATION

3 FAH-2 H-131.1 Key Concepts

(TL:FSNH-2; 2-10-92)
(Uniform State/AID/USIA/Commerce/Agriculture)

- a. The FSN classification system is a "rank-in-position" system.
- b. Classification concerns structure (class, title, and grade), not pay.
- c. Compliance with position classification standards is mandatory.
- d. Classification is an effective management tool when properly used.

3 FAH-2 H-131.2 Structure and Nature of System

(TL:FSNH-2; 2-10-92)
(Uniform State/AID/USIA/Commerce/Agriculture)

a. Supervisors of FSN employees are responsible for administering the FSN position classification system at the organizational level. Therefore, you need to understand the principles, structure, and procedures under which the system operates. The position classification system is fully explained in the regulations and handbooks listed at the end of this section; all of them are available in the Personnel Office. Study these materials and consult the personnel officer if you have any questions. This section only emphasizes the supervisor's responsibility and does not explain the system or its procedures since that information is readily available in other publications.

b. Some of the key elements of the system that you should keep in mind are:

(1) This interagency system applies to all FSN positions in the mission.

(2) While the system uses a 12-grade structure, not all *abroad* missions will have positions at all 12 grades. Differences in size, functions, relative complexity and importance of programs, organization of work, contracting practices, and other variables will govern the actual number of grades used at each mission.

(3) This is a "rank-in-position" system. The only basis for classifying an FSN position are its duties and the qualifications required. Keep in mind that length of service, quality of performance, and similar personal factors have no bearing on the classification of a position.

(4) Classification determines the relative internal alignment of FSN positions. The post's compensation plan relates this structure to the local economy. Pay problems are not to be solved by means of position classification.

3 FAH-2 H-131.3 Classification: What It Is and What It Is Not

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

- a. Position classification is based on:
 - The kind of work performed,
 - The level of difficulty and responsibility involved in the position,
 - The knowledge, skills, and abilities required to do the work.
- b. Position classification is not based on:
 - Volume of work done by employee,
 - Quality of work produced by employee,
 - Length of service of employee,
 - Value of employee to the organization,
 - Probable loss of employee to a better position,
 - Recruitment difficulties,
 - Sex or race of employee, local customs regarding female employees, etc.,
 - Rank or title of supervisor.
- c. Position classification will not:
 - Improve poor employee performance,
 - Correct misassignments,
 - Correct poor organization,

—Substitute for training needs,

—Correct poor supervision.

3 FAH-2 H-131.4 Post Position Classification Responsibility

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

a. The administrative/personnel officer at each *abroad* mission has the authority to classify FSN positions for which position classification standards have been published. This includes the classification of all new positions, both direct hire and PSC, and the reclassification of positions when significant changes occur, except for those falling outside the post's delegated authority.

b. The supervisor is responsible for managing positions, considering costs, organizing work, designing positions, writing position descriptions, and understanding and explaining classifications to employees. (The personnel officer will fully explain all classification decisions to the supervisor.)

A. Managing positions

You have a continuing responsibility to decide the work that needs to be done and to create and continue only those FSN positions that are validly needed. Decisions about the organization of the work load begin with sound planning.

B. Considering costs

The cost of the FSN workforce has risen tremendously in recent years, and the cost-increase spiral shows little sign of abating. While you are responsible for ensuring that employees are treated fairly within the applicable compensation plan, you have an equally important responsibility as a manager to avoid unwarranted costs. When planning positions, be careful to avoid duplicating effort and overlapping responsibilities. These deficiencies can result in unsupportable grade levels and even unwarranted positions.

C. Organizing work

Jobs need to be systematically preplanned to help distribute work among positions and people. Arrange work assignments in a way that most efficiently completes assigned functions. The aim is to get the most effective work per budget dollar spent. When organizing your unit's work, you need to know what you are to accomplish, the authorized personnel ceiling, the annual budget, and what equipment you have.

D. Designing positions

(1) The supervisor is responsible for assigning each position a given set of duties and responsibilities; specifying reasonable minimum qualification needed by anyone filling the position; and shifting duties and responsibilities, as necessary, to meet changing workloads or program emphasis. The duties and responsibilities assigned to each position must relate directly to goals that you want to accomplish.

(2) Your skill in assigning work to individual positions will be a measure of how well you have planned your program. Keep in mind the following points. Avoid combining unrelated duties. Too great a mixture of duties complicates both classifying and recruiting for positions. Concentrate similar duties, and those of the same level, in one or a few positions. Attempt to assign duties and responsibilities to create a logical line of progression. Establishing career paths for your employees will motivate them.

(3) Although the personnel officer makes the technical decision about the classification of a position, the supervisor decides what the classification will be when assigning duties and responsibilities to the position.

E. Writing position descriptions

(1) Definition and format

A position description officially states the duties, responsibilities, and qualification requirements of a position. All position descriptions must be prepared and typed on the Interagency Foreign Service National Employee Position Description form (OF-298). This form records certain identifying data, certifications, and information about qualification requirements and positions in a specified order as well as determines a position's grade. It is also one of the two factors that determines the employee's pay, the other factor is the salary scale prevailing in that geographic area for the particular kind of work involved in the position. Refer to the Interagency Handbook on Local Employee Position Classification (LEPCH) for detailed instructions on preparing position descriptions.

(2) Why position descriptions are needed

The principal reasons for writing position descriptions are to:

- a. Provide management with an official record of the duties, responsibilities, and authority involved in each position and the qualifications required to perform it.
- b. Give each employee a statement of what is expected of him or her.
- c. Provide a basis for equal pay for substantially equal work.
- d. Identify positions in order to recruit, plan, and promote personnel.
- e. Provide a way to develop employees through performance evaluation, career development, and training.
- f. Inform management of the work involved in all organizational units and of the relationship between positions.

(3) When position descriptions are needed

A position description is needed whenever a new position is established or whenever a material change occurs in the duties, responsibilities, or organizational relationships of an existing position.

(4) Who prepares position descriptions

The ultimate responsibility for writing position descriptions rests with the American supervisor. The personnel officer, though not responsible for writing them, is always available to provide guidance. Where feasible, the FSN supervisor or the incumbent can draft the description. However, you are responsible for discussing the position with the employee, indicating the approach to be taken in describing it, reviewing the draft description to ensure that management's concept of the position has been carried out, and finally, certifying that the description accurately represents the duties and responsibilities of the current position and that management has a valid need for the position. The personnel officer will review the position descriptions to ensure that they are understandable, in proper form, and reasonably brief. Also, that they follow instructions, contain the information needed for classification, and do not conflict with other position descriptions or with known facts about the organization and its functions. When descriptions are unsatisfactory for any of the above reasons, they will have to be rewritten.

(5) Keeping position descriptions current

Supervisors must keep position descriptions up-to-date, and the personnel officer must ensure that position classifications are current. This division of responsibility reflects the supervisor's authority to create positions, define their content, and to change their nature at any time. In addition to reviewing position descriptions annually, the personnel officer can request new position descriptions or amendments whenever existing descriptions have been made inaccurate by any organizational changes, such as changes in assignment, division of duties, or changes in staffing.

(6) Using position descriptions

As supervisor, you will find it helpful to refer frequently to the organizational chart, the staffing pattern, and the position descriptions for employees of your unit. One of your first actions, upon assuming a new supervisory position, should be to review them.

F. Understanding and explaining classifications to employees

(1) You are expected to actively support the FSN employee classification and compensation systems and to explain them to your employees. You are also responsible for explaining classifications to individual employees. If you do not fully understand the basis for a classification decision, consult the personnel officer, who can give you the information you need.

(2) With employees:

a. FSN employees must be paid on the basis of the duties and responsibilities of their position and prevailing level of compensation for equivalent levels of responsibility in the locality.

b. Except as provided in the grade retention provisions of 3 FAM 954.2, no employee may hold a "personal grade" that is different from the grade of the position that he or she occupies.

c. No U.S. official, at any level, may classify, or direct another person to classify, an FSN position on any basis other than the assigned duties and responsibilities and the standards contained in the LEPCH. This means that no FSN position may be upgraded without changes in duties and responsibilities that warrant a higher grade.

3 FAH-2 H-131.5 Job Analysis and Evaluation

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

Although job analysis and evaluation are, for the most part, done by the personnel officer, the supervisor of FSN employees should understand the basic principles and to cooperate in achieving them.

A. Job analysis

Before a position can be evaluated, it must be analyzed. Job analysis includes fact finding, preparing position descriptions and grouping positions by occupations. Supervisors supply the personnel officer with background information, such as manuals, written instructions, and procedures that have been issued; provide organizational and functional charts for their units; and write descriptions for all FSN positions. Personnel officers, or other qualified staff members, usually supplement this information by interviewing the supervisor and the incumbent in the position. Sometimes only a supervisory audit is conducted. The need for the supervisor to cooperate fully in this fact-finding is readily apparent: only complete and accurate information permits sound analysis, accurate evaluation, and correct classification of positions.

B. Job evaluation

The personnel officer completes the classification process by selecting the official title, series, and grade appropriate for a position according to the LEPCH. The rationale for the decision is recorded on an Analysis and Evaluation Worksheet that is filed with the Personnel Office's copy of the position description. Supervisors should review these worksheets to increase their understanding of the classification process and to help them provide better and more complete explanations to their employees. Positions for which directly applicable standards have not been published must be sent to the Department for evaluation.

C. Trainee positions

The FSN classification system allows trainee positions to be classified below the full performance grade level when the incumbent, while indicating potential for development, does not have the necessary background and experience to perform the full scope of the position. If you have a need to establish such a position, ask the personnel officer for guidance. Specific instructions can be found in the LEPCH and the Handbook on Foreign Service National Personnel Administration (FSNPAH), available in the Personnel Office.

3 FAH-2 H-131.6 Appeals

(TL:FSNH-025; 08-01-2003)

(Uniform State/AID/USIA/Commerce/Agriculture)

a. The FSN position classification system has a permanent appeals mechanism for reviewing classification decisions. To administer the system equitably, the foreign affairs agencies have established the Washington Interagency Foreign Service National Position Classification Appeals Board; each post is required to establish an Interagency FSN Position Classification Appeals Panel. These boards ensure that both supervisors and employees have a channel that will review classification decisions with which they do not concur.

b. Detailed information and instructions that govern submitting and processing appeals are described in *3 FAM 7300* which is available in the Personnel Office. When preparing an appeal, employees or supervisors should consult their personnel officer for instructions on the procedures to be followed.

c. Brief highlights of the appeal system are presented below.

(1) FSN employees must be assured that they have the right to appeal, without fear of reprisal or prejudice, the classification of the position that they occupy.

(2) The post's interagency FSN Position Classification Appeals Panel includes representatives from associated agencies at post, at least including members from agencies that are a major presence there.

(3) Before taking any disagreement directly to the appeals panel, supervisors first should discuss questions about classification of positions under their control with the personnel officer.

(4) The basis for an appeal must be that the personnel officer either did not understand the scope, complexity, or difficulty of the assigned duties or misapplied the classification standards. The appeal also must give the reasons why the position should be qualified for a different grade according to the standards.

3 FAH-2 H-131.7 Summary

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

To be an effective supervisor you must:

- a. Create and continue only those FSN positions that you need.
- b. Organize work to obtain the most effective operation per budget dollar spent.
- c. Design positions to get the most effective production out of each one.

d. Prepare position descriptions that state clearly and concisely the nature of the assigned work, how and why it is done, the knowledge and skills needed to do the work, and the percentage of time spent on various aspects of the job.

e. Actively support the position classification system.

3 FAH-2 H-131.8 References

(TL:FSNH-025; 08-01-2003)

(Uniform State/AID/USIA/Commerce/Agriculture)

— *3 FAM 7510 Foreign Service National (FSN) Position Classification*

— *3 FAM 7500 FSN Position Classification and Pay Administration*

— *3 FAM 7510 Reporting Requirements Under the LEPCH System.*

Interagency Handbook on Local Employee Position Classification (LEPCH).

Interagency Handbook on Foreign Service National Personnel Administration (FSNPAH), Section 3, Position Classification.

3 FAH-2 H-132 COMPENSATION AND BENEFITS

3 FAH-2 H-132.1 Key Concepts

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

a. The authority and basis for establishing FSN employee compensation is contained in Section 408(a)(1) of the Foreign Service Act that states, in part, "To the extent consistent with the public interest, each compensation plan shall be based upon prevailing salary rates and compensation practices (including participating in local social security plans) for corresponding types of positions in the locality of employment. Any compensation plan established under this section may include provision for leaves of absence with pay for foreign national employees in accordance with prevailing law and employment. ..."

b. All FSN salary and benefit payments are authorized in the mission's joint local compensation plan that is developed from salary and benefit surveys done within the area and approved by Washington headquarters of the agencies.

c. Benefits that customarily are provided by most local employers are provided to FSN employees as direct benefits, to the extent feasible.

3 FAH-2 H-132.2 Compensation Principles

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

A. Prevailing practice

Salary rates must conform to local practice as determined by surveys among local competitive organizations. Rates should be neither higher nor lower than representative rates for comparable work in the area. No authority exists to exceed the "going rate."

B. Total compensation

The FSN pay system includes not only the salary structure but all related benefits. To the extent desirable and feasible, locally prevailing benefits are provided directly rather than by adjusting or increasing pay rates. Regardless of whether benefits are paid directly or through salary rate adjustments, your FSN employees should understand the total compensation concept and the fact that the sum of all forms of compensation compares to that measured among the surveyed firms. Individual features may not be comparable on a one-to-one basis, both the total package should be generally equal. The total compensation approach ensures FSN's approximate parity with employees doing similar levels of work outside the mission.

C. Career management

Local compensation plans, including the position classification plan, provide the structure within which the FSN personnel program is administered. A position is classified to set its pay rate and ensure equal pay for equal work. Well-conceived plans enable the mission to attract and retain high caliber, qualified employees, provide qualified employees with opportunities for career development, improve production by motivating employees, and improve morale by providing fair and equal treatment, that is, equal pay for equal work.

3 FAH-2 H-132.3 Local Compensation Plan

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

A. General

Based on information about compensation in the area, each mission implements a local compensation plan for the mission and for each constituent post. Plans are reviewed at least annually to ensure that they are current. All U.S. Government agencies in the area work together to develop uniform policies and procedures for FSN compensation.

B. Developing a plan

(1) Basic salary and benefit surveys

All posts periodically conduct full-scale salary and benefit surveys by collecting data from a representative number of competitive employers in the area. The data is evaluated in Washington, and a local compensation plan is developed that includes basic salary schedules, premium rates (overtime, holiday, and night differential), and all direct benefits. Benefits can be separate, such as bonus, transportation, meal and family allowances, retirement, severance pay, leave, and medical and life insurance. They can also be given a monetary value and included in the salary rates when they are significant for a few but not most firms in the area.

(2) Salary change surveys

These surveys measure new salary levels among employers participating in the post's full-scale surveys and are conducted annually as close as possible to the anniversary date of the full survey.

(3) Spot check salary reviews

Between salary change surveys, whenever salary movement is rapid, the post uses this procedure whenever it needs a quick measure of what has occurred among surveyed employers that would warrant an increase for FSNs. This type of quick phone survey, though not very accurate, is sufficient to decide what the labor market is doing in light of economic or labor law developments.

(4) Host government decree

In some countries, by decree with the force of law, the host government may require most or all employers to increase salaries by a fixed amount or a percentage of salary. When such a decree is issued, the personnel officer determines to which parts of total compensation the decree applies and takes appropriate action after approval from headquarters in Washington.

3 FAH-2 H-132.4 Responsibilities

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

A. Personnel officer

The personnel officer should keep abreast of salary developments within the area and initiate action, when appropriate, on surveys or spot check reviews. He or she also administers the plan and provides straight-forward explanations of the salary structure, including benefits, to supervisors and to FSN employees.

B. Supervisor

(1) After becoming a supervisor of FSN employees, study the local compensation plan. If you have any questions, consult the personnel officer. Compensation practices vary widely from country to country, and no two local plans will be identical. You cannot rely on your knowledge of a plan at another post. Therefore, you must carefully review the plan for your post. Since each plan is unique, no details are provided here. All policies and procedures for administering plans are available in your Personnel Office.

(2) You must be able to explain and answer questions that your FSN employees may have about the local compensation plan, especially when a new or revised plan is implemented. Consult your personnel officer for assistance, but do not shirk your responsibility to your employees. Remember, they look to you for leadership. The way you support and explain the local compensation plan will affect their perceptions of the plan's fairness.

(3) Know what is happening to salaries and employee benefits in the private sector and the local government. Members of the Economic and Labor Sections should be especially alert to trends in the local economy and should pass useful information to the personnel officer to assist planning for timely surveys and checks.

3 FAH-2 H-132.5 Summary

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

The local compensation plan forms the legal basis for all payments to FSN employees. Without an approved plan, the post has no authority to spend U.S. Government funds for FSN salaries or benefits, unlike the private sector where a firm can do so unless a law prevents it. All salary payments to FSN employees, including direct benefit payments, must be authorized specifically in the joint local compensation plan. A post compensation plan must be in accord with the legal authority (Section <\$X> 408 of the Foreign Service Act), equitable for the employees, and reasonable for the manager.

3 FAH-2 H-132.6 References

(TL:FSNH-025; 08-01-2003)

(Uniform State/AID/USIA/Commerce/Agriculture)

- 3 FAM 7310 FSN Compensation--General
- 3 FAM 7320 Compensation Plans
- 3 FAM 7330 FSN Salary Payments
- 3 FAM 7340 Direct Fringe Benefit Payments
- 3 FAM 7350 Premium Compensation
- 3 FAH-2 Foreign Service National Handbook (FSNH), Chapter 2, Foreign Service National Compensation

Interagency Handbook on Foreign Service National Personnel Administration (FSNPAH), Section 4, Compensation and Section 5, Employee Benefits.

3 FAH-2 H-133 SELECTION AND ORIENTATION

3 FAH-2 H-133.1 Key Concepts

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

- a. The principles of equity and competition apply equally to initial appointment and selection of employees for career development.
- b. Selection for appointment, promotion, or reassignment should be made solely on the basis of qualifications and merit.
- c. Whenever feasible, vacancies should be filled by current, qualified employees.
- d. The efforts and attitudes of employees depend largely on how they are treated.

3 FAH-2 H-133.2 Management Concerns

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

A. Determine need

Getting work done economically is one responsibility of a supervisor. Review the need for a position before recruiting. Also consider the duties to be assigned and how they will fit into the overall work of your unit.

B. Review the position description

Be sure that the position description accurately defines the duties of the position.

C. Decide on qualifications

(1) Distinguish between those essential qualifications needed to perform the work satisfactorily and those qualifications that would be helpful but that are not essential to satisfactory performance. Specify education, prior work experience, post orientation, language proficiency, knowledge, and skills. (See Interagency Handbook on Local Employee Position Classification (LEPCH), Appendix B, Instructions for Preparing Interagency Local Employee Position Description, paragraph 15, for additional guidance in establishing qualifications.)

(2) During recruitment emphasize locating well-qualified people who have potential to grow in the job. At the same time maintain a prudent balance with the qualifications that are essential at the time of appointment and in the foreseeable future to avoid selecting overqualified people who will only become unhappy with the necessarily slow, limited advancement usually inherent in FSN positions.

(3) In thinking through qualification requirements, ask yourself questions such as: What is the job and what kind of experience is the most useful for this kind of work? What characteristics am I looking for in a candidate--a person who will be happy to do a routine job or someone who could act as my assistant in an emergency? What are the most important qualifications--the factors that spell success or failure on this job?

D. Initiating a request for recruitment

As soon as you know that you will have a vacancy and have confirmed the need for the position and the accuracy of the position description, submit a recruitment request to the personnel officer following post instructions. Allow as much time as possible to process the request. If the position is new or has been changed, it will have to be evaluated before recruitment can begin. Although the personnel officer is responsible for recruiting, you can help, particularly when you need specialized or professional employees, by learning from your contacts in the community where likely candidates are to be found or what schools in the area provide the best training for your type of work. A little enterprise on your part may locate better candidates.

3 FAH-2 H-133.3 Considering Current Employees

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

(1) Whenever feasible, vacancies should be filled either through promotion or reassignment of qualified employees currently on the payroll. When vacancies are filled from within, managers as well as employees benefit. The office receives an employee who is already familiar with the mission's functions and administrative procedures and whose abilities and potential already have been assessed on-the-job.

(2) If the lead time for filling a projected vacancy permits, announce the vacancy and consider in-house candidates before recruiting outside the mission. Otherwise, current employees should be considered along with outside applicants.

3 FAH-2 H-133.4 Selecting an Applicant

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

A. Personnel officer's responsibility.

Upon receiving the request to fill a vacancy, the personnel officer will take the following actions:

(1) Review the position description to ensure that duties and qualification requirements are accurate and clearly understandable. In making this review the personnel officer should be sure that qualification requirements are not so restrictive that a predetermined candidate is selected.

(2) Reaffirm the validity of the position's title and grade.

(3) Ensure that requirements of the promotion-from-within program are met.

(4) Aggressively seek out well-qualified candidates.

(5) Receive, acknowledge, and evaluate applications; conduct interviews; administer and interpret tests. The personnel officer will explain all conditions of employment including duty hours, salary and benefits, pay days, leave, performance evaluations, etc.

(6) Refer well-qualified candidates to the selecting supervisor for interviews.

(7) After the supervisor makes a tentative selection, initiate pre-employment clearances, and process appointments.

B. Supervisor's responsibility.

(1) Application review

The personnel officer furnishes a list of qualified applicants together with their applications and test scores, if any, if they are from outside the mission, and their personnel files if they are in-house candidates. The supervisor reviews all written material before interviewing the applicants. Some things to look for when reviewing an application are:

a. Educational Background

—What schools did they attend?

—Have they completed any post secondary education, and if so, how much?

—If they have college or university training, what was their major?

b. Work Experience

—How long have they worked?

—For whom did they work?

—What were their duties?

—How do their previous duties relate to your job vacancy?

—Is there a pattern of job-hopping?

—Does their employment show a pattern of steady advancement?

c. Awards or Special Achievements

—Were they selected to attend special seminars?

—Were they members of committees?

—What types of awards have they received?

(2) Supervisor's interview

a. Interview all applicants whose names appear on the referral list before making a selection. Use an interview summary sheet to record impressions. (See sample in Section 7 of the Interagency Handbook on FSN Employee Personnel Administration (FSNPAH.) During the interviews let the candidates talk about their interests and listen to what they have to say.

b. Always begin your interview by explaining the duties of the position for which the applicant is being considered. Thus, the applicants can judge whether or not your position is suitable for them. This explanation also will help them answer your queries. You then could continue your interview by saying, "I wonder if our job is right for you; instead of asking you questions, could you tell me about your experience and your interests?" Encourage applicants to talk by following leads and listening attentively. If candidates feel that you are a sympathetic listener, they may reveal a great deal that will help you to evaluate them for the job you have to offer. Remember how important this person might be to you in accomplishing your responsibilities. (See section 3 FAH-2 H-126.5 for additional suggestions about interviewing.)

(3) Tentative selection

a. Thank all candidates for coming to the interview but do not comment about selection. After you have interviewed all candidates, make your selection and tell the personnel officer. Selection remains conditional until the necessary medical and security clearances have been obtained. If you think that none of the candidates is qualified for the position, ask the personnel officer to refer additional candidates.

b. After consulting with the supervisor, the personnel officer makes all commitments to an applicant as to grade, salary, and entry-on-duty date. This prevents embarrassing situations from arising if commitments are made before grade and salary for the applicant have been set, e.g., when it is necessary to establish a trainee level or before pre-employment clearances are obtained. The personnel officer will notify the successful applicant of tentative selection and will take steps to get the pre-employment clearances. All unsuccessful applicants will be contacted by the personnel officer.

3 FAH-2 H-133.5 Employment

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

A. Establishing an entrance-on-duty date

(1) When selection has been made from within the mission, the personnel officer arranges a fair and mutually acceptable date for reporting to the new position. Adequate lead time is rarely available to permit filling the vacancy as well as filling in behind the selected employee without some gap. When arranging the reporting date, the personnel officer must consider the needs of both offices. Unless special circumstances make it inappropriate, the gap should be shared by both offices. A reporting date often can be agreed upon most expeditiously at a joint meeting of the two supervisors and the personnel officer.

(2) When selection has been made from outside the mission, the reporting date is usually the earliest date on which the prospective employee can report after being notified of final selection once pre-employment clearances have been obtained. A responsible employee will want to give adequate notice to his or her current employer, so you can expect some delay after the applicant has been notified. This is another reason why recruitment should be started as early as possible.

B. Orienting the new employee

(1) New employees need accurate and complete information about the conditions of their employment and what is expected of them. Relating their work to overall goals will contribute to understanding and job satisfaction. At no time is understanding and careful instruction more needed than during an employee's first days on a new job. Take time to help the employee get started and feel welcome.

(2) On-the-job orientation should include:

a. Introductions to fellow workers, including supervisors. Assign a co-worker, if feasible, as a guide.

b. A tour of the mission, if appropriate.

c. Introductions to people outside of the immediate office with whom the new employee will have a great deal of contact.

d. An explanation of the local compensation plan.

e. A discussion of the duties, including a review of the position description and instruction on procedures to be followed.

f. Explanation of how work will be reviewed and performance evaluated.

g. A discussion of the conditions of employment and office policy on office hours, lunch hour coverage, use of telephones, leave schedules, use of supplies and equipment, movement of employees and mail between buildings, etc.

(3) Orienting a new, locally hired employee often will require much time and effort on your part. If English is the employee's second language, it may take you a while to find out just how much of what you say is really understood. If the employee says "yes" to everything, it may mean that he or she has heard you, not that he or she knows what to do. Problems with language or inadequate training will test your ingenuity to communicate. Written samples of the way work should be done may help.

3 FAH-2 H-133.6 Summary

(TL:FSNH-2; 2-10-92)
(Uniform State/AID/USIA/Commerce/Agriculture)

As a supervisor your success or failure will depend in large part on the effectiveness of the employee you supervise. Thoughtful selection of employees based solely on their qualifications and merit is essential. You are obligated to instruct newly assigned employees and help them understand their jobs during their first days with the organization.

3 FAH-2 H-133.7 References

(TL:FSNH-025; 08-01-2003)
(Uniform State/AID/USIA/Commerce/Agriculture)

See 3 FAM 7200 for FSN Employee Recruitment and Employment.

Interagency Handbook on Foreign Service National Employee Personnel Administration (FSNPAH), Section 7, Recruitment, Employment, and Orientation.

3 FAH-2 H-134 ATTENDANCE AND LEAVE

3 FAH-2 H-134.1 Key Concepts

(TL:FSNH-2; 2-10-92)
(Uniform State/AID/USIA/Commerce/Agriculture)

a. Annual and sick leave and other leaves of absence with pay for FSN employees may be in accord with prevailing law and employment practices in the locality.

b. Controlling absenteeism begins, continues, and ends with awareness.

3 FAH-2 H-134.2 Mission Leave Plan

(TL:FSNH-2; 2-10-92)
(Uniform State/AID/USIA/Commerce/Agriculture)

The Foreign Service Act of 1980 authorizes the establishment of leave plans for FSN employees in accordance with local law and prevailing practices. Each mission must develop and adopt a joint interagency leave plan for its FSN employees that follows prevailing practice in all respects. As of October 1987, *abroad* missions are researching local practice and developing post plans for approval in Washington. Some posts have adopted locally prevailing leave plans while other posts are using plans modeled on the U.S. Annual and Sick Leave Act of 1951. Check with your personnel officer for information on the FSN leave plan used at your post.

3 FAH-2 H-134.3 Administering Leave

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

A. Post instructions

The personnel officer at each post issues comprehensive instructions about FSN leave policy, including such matters as when and to whom leave requests should be submitted, when documentation is required, what documentation is acceptable, and conditions, if any, under which leave will be advanced. Review these instructions even if you do not have the authority to approve leave requests. You are still responsible for advising employees and for controlling the use of leave by your subordinates.

B. Leave records

You are responsible for preparing and submitting biweekly time and attendance reports, according to post instructions. Leave records usually are maintained by the Regional Administrative Management Centers (RAMC's). Some posts that use locally prevailing leave plans maintain leave records in the Budget Management Office or in the Personnel Office. Regardless of where the official leave records are kept, they are available to you upon request. One of your first actions, upon assuming your supervisory duties, should be to review your employees' leave records for the current or prior year. By studying these records, you can ascertain if you have any potential leave abuse problems that will require special attention and counseling.

3 FAH-2 H-134.4 Controlling Leave

(TL:FSNH-026; 08-20-2003)

(Uniform State/AID/USIA/Commerce/Agriculture)

A. Scheduling leave

(1) Early in the calendar year prepare a vacation leave schedule for employees under your jurisdiction. Planning early and working out necessary adjustments will avoid employee disappointment and forfeiture of leave as well as enable you to retain enough coverage in your section to do essential work. Many employees must coordinate their vacation leave with other family members who work, and last minute changes can be difficult for everyone. An approved leave request should be canceled only because of an urgent need for the employee's services that you could not have foreseen. Leave must not be denied or canceled for arbitrary or capricious reasons. Denial or cancellation of leave is not disciplinary in character and must not be used as a punitive measure.

(2) Leave schedules should be planned so that your section is adequately covered. In small embassies and posts where this is not possible, coordinate with the personnel officer or the *management officer* well in advance. Remember that the overall number of employees is limited and other sections also may be scheduling leave. This is particularly true in countries where most residents plan vacations at a particular time, such as the month of August.

B. Absenteeism

(1) The key to controlling absenteeism is awareness: Your own awareness of the importance of controlling the problem and your employees' awareness that you will not tolerate high absenteeism.

(2) Keep a record of absences. A simple chart will do, but be sure that your records are both current and accurate. Then communicate your awareness to your employees. Make sure that your employees know that you care. If you are faced with high absenteeism, these suggestions may be helpful.

a. Look for patterns, such as leave taken frequently on Mondays, Fridays, or before or after holidays and sick leave taken after annual leave has been refused.

b. Stress your interest in good attendance at each opportunity.

c. Require that employees report absences to you personally, thus providing a psychological deterrent against abuse.

- d. Insist on satisfactory explanations for all absences.
 - e. According to post policy, require employees to present doctors' certificates when they return to work.
 - f. Be sure that your employees understand the consequences of poor attendance, for example, how other employees have to carry extra work loads.
 - g. Discuss individual attendance records with employees during performance rating interviews.
 - h. Do not permit an employee who has been absent to be authorized overtime to meet deadlines.
- (3) Establish a favorable climate for good attendance. Raise morale and you will lower the absentee rate. Consider such morale-building factors as:
- a. Keeping employees better informed.
 - b. Providing more opportunities for training and career development.
 - c. Recognizing good work with praise.
 - d. Inspiring teamwork.

C. Tardiness

(1) Most leave systems will not allow leave to be charged in units of less than an hour. Therefore, the employee who is habitually 15 minutes late cannot be asked to sign for leave unless you are willing to give him or her the additional 45 minutes. What can you do, then, about the tardy worker? First, ask why he or she is late. Try to find out the reason. Is it lack of interest, a feeling that he or she will not even be missed, or troubles at home that are seriously disturbing? If you understand the problem, you may be able to help. Every situation will call for a different solution, but perpetual lateness cannot be tolerated. If you find that you have to take action, you can charge tardiness to AWOL or annual leave but not to LWOP. Habitual tardiness is a basis for disciplinary action, but consult your personnel officer before taking any such action. (See also Section 15 for additional material on disciplinary actions).

(2) When dealing with an employee who is habitually tardy, keep the following in mind.

- a. Do not ignore tardiness, but always ascertain the reasons for the tardiness before admonishing the employee.

- b. Make sure the employee understands the rules and knows that you expect him or her to be on time.
- c. Explain how tardiness of one employee affects work loads and attitudes of others.
- d. Show appreciation for outstanding attendance and punctuality.
- e. Monitor those who habitually arrive late.
- f. Lead by example.

3 FAH-2 H-134.5 Summary

(TL:FSNH-2; 2-10-92)
(Uniform State/AID/USIA/Commerce/Agriculture)

Supervisors are responsible for preparing vacation leave schedules to ensure that the office retains enough staff to do essential work in a timely manner while all employees enjoy needed rest; and controlling absenteeism and tardiness to eliminate costly abuses.

3 FAH-2 H-134.6 References

(TL:FSNH-2; 2-10-92)
(Uniform State/AID/USIA/Commerce/Agriculture)

See 3 FAM 940 for FSN Employee Attendance and Leave

Interagency Handbook on Foreign Service National Personnel Administration (FSNPAH), Section 6, Attendance, and Leave.

3 FAH-2 H-135 PERFORMANCE EVALUATION

3 FAH-2 H-135.1 Key Concepts

(TL:FSNH-2; 2-10-92)
(Uniform State/AID/USIA/Commerce/Agriculture)

- a. The basis for performance evaluation is contained in the position description, and the employee should not be evaluated on duties not included therein.
- b. Performance evaluation is a continuing process.
- c. The written performance appraisal becomes a guide for personnel actions such as promotions, within-grade increases, reassignments, demotions, or separations.

3 FAH-2 H-135.2 Purpose of Evaluation

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce)

Agriculture

Annual performance evaluations give supervisors a chance to appraise the performance of their employees on a recurring basis. They provide occasions to:

- a. Identify and discuss work standards and requirements with employees.
- b. Strengthen supervisor-employee relationships.
- c. Recognize outstanding performance.
- d. Correct deficiencies in work.
- e. Identify training needs.
- f. Provide advice and counseling to help employees meet expectations.
- g. Identify unsatisfactory employees who perhaps should be reassigned to a different kind or level of work, or dismissed.

3 FAH-2 H-135.3 Factors To Consider

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

a. Tell employees what you expect. Your evaluations always relate to the jobs you expect them to do. Employees must know, day in and day out, just what their jobs are and what factors, such as accuracy, thoroughness, judgment, initiative, punctuality, and dependability, are important to you.

b. The characteristics that you, as the rater, must have to pass judgment on another human being are simply the virtues of fairness, honesty, and objectivity. Other factors in performance evaluations that will help you in your relationships with your employees are:

(1) Being punctual in preparing evaluations. Your staff can be resentful, with justification, if you delay in giving them ratings; the rating itself will lose its punch if it is not timely.

(2) Taking time to think about the employee and the job. Phrases such as "I have nothing to add to my previous report" will make the employee feel like a very small cog in a big machine.

(3) Judging the total job for the whole year. Don't give undue weight to an occasional mistake.

(4) Looking for the strong points. Give praise where praise is due.

(5) Giving criticism. Be sure that your criticism is based on the work and that it is constructive in nature.

(6) Discussing personal qualities only as they relate to the job and the employee's future development.

3 FAH-2 H-135.4 Evaluation-A Continuing Process

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

Appraising the work performance of your employees is something that you do, consciously or not, every hour of the workday. If you establish the right relationship with the employee, nothing that you may say at the end of the year, on the form itself, will come as a surprise. You begin to rate the employee the moment he or she is assigned to you by asking yourself:

- a. How is the job getting done?
- b. Am I giving the best possible guidance?
- c. What are the employee's special strengths and potential?
- d. What can I do to help overcome weaknesses?
- e. What kind of training would help the employee to develop and prepare for future advancement?

3 FAH-2 H-135.5 Preparing Annual Performance Evaluations

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

A. Procedures

(1) Form

Form JF-50, Work Plan and Performance Evaluation Report for Foreign Service National Personnel, must be used for all reports. Blank forms, as well as a sample of a completed form, can be obtained from the Personnel Office. Posts may reproduce this form in the host country's language if they decide that this is necessary to help employees understand the ratings.

(2) Due date

Reports are required each year. The annual rating cycle, however, is determined by each post. Consult the Personnel Office for the schedule for your unit.

Remember that a late report can delay the processing of a within-grade increase.

B. Responsibilities.

(1) Personnel Officer

In consultation with officials of all agencies at post, the personnel officer establishes post policies for FSN performance evaluations. These policies are then publicized so that all post personnel, supervisors, and employees, know and understand them. The personnel officer provides supervisors of FSN employees the forms, notifies them of due dates, and reviews all FSN performance evaluation reports to ensure that the performance rating is supported adequately in the supervisors' narrative summary (Part B). Inconsistencies will be called to the supervisor's attention for correction.

(2) Rating officer

The rating official usually is responsible for the work of, and gives assignments to, the employee. He or she is responsible for:

- a. Explaining to each employee the duties of the position and requirements for satisfactory performance at the beginning of the rating period.
- b. Discussing strengths, weaknesses, and ways to improve performance with the employee.
- c. Giving recognition to superior performance.
- d. Taking appropriate action when any employee's performance is substandard.

(3) Reviewing officer

If the rating officer is not a U.S. citizen, a U.S. citizen officer must write a reviewing statement. This statement should take into account:

a. The report's thoroughness, objectivity, soundness, and compliance with evaluation instructions.

b. Whether the employee has received adequate instructions, whether the rating official appears unduly harsh or lenient, and whether the reviewing officer concurs with the report. If the reviewing officer does not concur with the report, he or she must fully document the reasons.

C. Assigning overall ratings

(1) Prior to assigning a summary rating, the rating official should carefully review the "FSN Generic Performance Standards" which are a part of the JF-50 form.

(2) The written evaluation of a substandard employee should include:

a. Reasons why performance of specific work assignments has been considered substandard.

b. Recommendations made in the past to the employee to encourage improvement and their results.

c. Future expectations of the employee's work performance.

D. Submitting reports

(1) The rating officer gives the rated employee a copy of the complete report, obtains his or her comments and signature, and forwards the original copy to the Personnel Office to be included in the employee's official personnel folder.

(2) If an unsatisfactory rating has been given, the personnel officer will discuss it with the rating and reviewing officials and with the employee to ensure that the employee understands what is expected, is aware of weaknesses, has been given adequate guidance to help improve performance, and has had a chance to improve performance. The section or agency chief and the personnel officer then will decide what action is appropriate, including possibly dismissing the employee.

3 FAH-2 H-135.6 Probationary Ratings

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

a. All FSN employees are appointed subject to satisfactory completion of a specific probationary period. Actual job performance during this probationary period is an essential test of the employee's fitness for continued employment with the U.S. Government. Employees who do not perform satisfactorily may be dismissed at any time during the probationary period. Employees who complete the probationary period usually are considered suitable for long-term employment with the U.S. Government.

b. Each post establishes reporting requirements for its own probationary period since they may depend to some extent on local law or practices and the local labor market. Refer to your post FSN performance evaluation publication to learn about these requirements.

c. Identifying employees who are either unsuitable or unable to perform assigned duties and promptly notifying the personnel officer early in the probationary period minimizes the problems involved in dismissing these employees and contributes materially to an economical and efficient operation. Failing to identify these employees during their probationary period leads to retaining unqualified employees who are unable to carry their share of the work load. It also postpones action on a problem that will require more time and effort, on your part and that of the personnel officer, if dismissal becomes necessary after the end of the probationary period. Good managers do not shirk this responsibility. (see also 3 FAH-2 H-142.1 , Separation During Probationary Period, for additional guidance.)

3 FAH-2 H-135.7 Appraisal Interviews

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

a. People want to do a good job and please their employer. They need to know how the supervisor thinks they are doing. Any supervisor who wants to motivate better performance cannot afford to operate on the theory that "You're doing all right as long as you don't hear from me." You need to sit down with employees and tell them where they stand and what they can do to improve. The key to success in discussing performance with an employee is to be fair and constructive. Employees usually will accept critical appraisals without resentment if they are based on facts and presented without prejudice.

b. Appraisal interviews should follow this sequence:

(1) Try to put the employee at ease and lay the groundwork for an honest and forthright discussion of performance.

(2) Review the rating. Go over the position's requirements, performance standards, and the written evaluation together.

(3) Comment on the employee's strengths and weaknesses and invite the employee to discuss openly his or her reactions.

(4) Make specific recommendations for improvement; discuss them, and agree on how to implement these suggestions. Set a time limit for each improvement factor and follow up.

3 FAH-2 H-135.8 Summary

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

Performance evaluation is a continuing process and an integral part of any supervisor's responsibilities. This process should foster frank discussion between the rating officer and the rated employee. Periodic performance reviews help supervisors to clear up any misunderstandings about their expectations, recognize ability and point the way to developmental training, and build a strong relationship based on mutual confidence.

3 FAH-2 H-135.9 References

(TL:FSNH-025; 08-01-2003)

(Uniform State/AID/USIA/Commerce/Agriculture)

See 3 FAM 7610 for Performance Evaluation

Interagency Handbook on Foreign Service National Personnel Administration (FSNPAH), Section 8, Performance Evaluation.

3 FAH-2 H-136 CAREER DEVELOPMENT AND TRAINING

3 FAH-2 H-136.1 Key Concepts

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

a. Performance problems caused by deficiencies in skill can be corrected by training.

b. The desire to do excellent work grows with the employees' confidence in his or her ability to do the work.

c. Performance appraisal is the foundation of the employee development program.

3 FAH-2 H-136.2 Supervisor's Role

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

As a supervisor you are inherently responsible for training and developing employees to help them improve their job performance and reach their full potential. Training falls into three categories.

A. Orientation for the new employee

Always provide complete and clear instructions as to what is expected and how to proceed with each phase of the work. Select the person on the staff who is best qualified to give the instructions. This may be you, a senior FSN employee, or another supervisor.

B. Improving skills

On-the-job training is a requirement for most FSN employees and frequently is the only training available to them. Rarely can quality of workmanship not be improved by refining techniques. Introducing new technology and procedures, including computerized equipment, often creates a need for specialized training.

C. Developmental training

All employees are entitled to a work environment in which they can expect to develop their capabilities and assume progressively more responsible positions. New technology combined with the need to replace retiring senior employees also creates a continuing need to develop employee potential within our missions.

3 FAH-2 H-136.3 On-the-Job Training

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

You can do a lot to develop your employees. Formal training never substitutes for well-planned on-the-job training, which is your responsibility. The training you give will be an important factor in how well and how quickly the employee learns the work, how interested he or she is, and how productive he or she becomes. All too often supervisors neglect on-the-job training because they are not sure how to go about it. Here are some suggestions to help you get started.

A. Qualities of a successful trainer

- (1) Preparation

Sound technical knowledge and careful planning are essential prerequisites to successful training. Know precisely how you will present your material.

(2) Thoroughness

Define the training objective so that the employee can see the goal for which he or she is striving. Explain how immediate goals fit into broader section or mission goals. Review each process in the job, step-by-step. Always emphasize "how to," not "how not to."

(3) Understanding

Adjust your approach to the individual. Avoid spending unnecessary time going over material that the employee already understands. On the other hand, do not assume that the employee has certain knowledge, and thus try to build on a shaky foundation. Talk in terms that will be understood. Relate examples and illustrations to the mission or host country whenever possible.

(4) Patience

Realize that learning takes time and do not expect instant results. Do not set impossibly high standards or be over-critical. The slow learner may be a valuable employee in the end.

B. Steps in instruction

(1) Prepare yourself

Know your specific objective. Develop a timetable and instruction plans, leaving no detail to chance.

(2) Prepare the employee

Put the employee at ease and help him or her establish personal objectives. Motivate the employee to want to learn.

(3) Give the instructions

Tell what to do and show how to do it. Demonstrate and stress key points. Take up one point at a time and cover it clearly and completely.

(4) Review with the employee

In order to make sure the employee understands, let him or her tell you and then show you what is to be done. Have the employee explain the key points so that you can correct any errors in explanations or performance.

(5) Follow up

Check back to be sure that the employee does not have any questions; notice whether or not your instructions are being followed. Provide additional explanations as needed and praise the employee for work well done.

3 FAH-2 H-136.4 Other Training

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

a. U.S. Government-sponsored training for FSN employees, which must be job related, is intended to increase the proficiency of employees who already are qualified for their positions. Training may be full-time or part-time, on-duty or off-duty, day or evening, or any combination of these, according to needs of the post, availability of funds, and training opportunities. It may be done through correspondence, classroom work, conferences, workshops, supervised practice, or other combinations of methods.

b. When you need a specific kind of training for your FSN employees that exceeds your on-the-job capabilities, you should discuss these needs with the personnel officer. He or she will be able to give you information on courses that are available and to help you make the required applications and arrangements.

3 FAH-2 H-136.5 Career Development

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

A. Career counseling

FSN employees need counseling about qualification requirements for positions on their career ladders; you should tell them about training that will contribute to their career advancement. Most employees want to improve themselves and fulfill their potential. Training, therefore, is a real morale booster. When counseling your employees, keep the following thoughts in mind:

(1) Don't plan other's careers. Show them the possibilities.

(2) Get your employees to take a hard look at themselves-their talents and their potential. They must choose the goal that suits them.

(3) Make no promises about promotions, reassignments, etc. Help employees make realistic assessments of promotion opportunities in the office or in a larger context.

(4) Provide appropriate training and guidance and encourage employees in their efforts by serving, for example, as a sponsor for correspondence training courses.

B. Providing learning opportunities

(1) Delegate responsibility

Delegating responsibility encourages the development of your employees. If your staff is not adequately trained, you are tempted to do the job yourself. Begin delegating by giving selected employees additional tasks and explaining how these tasks fit into the overall function. In this way you gradually enlarge their jobs and expand their knowledge and skills. You should also delegate to other supervisors working for you. You may need to step in occasionally and do a job or demonstrate an operation, but do not jump in indiscriminately. Otherwise, the employees may assume that you do not trust them, and you may undermine their authority. To delegate you must have confidence in both your staff and yourself. You must be willing to release the reins and let employees make mistakes if they will learn from the experience.

(2) Rotate assignments

Rotating training assignments in your unit, whenever possible, so that employees can learn other jobs has several advantages. You develop a more flexible staff that can act as backups for important jobs when the post is short of personnel. Such training gives employees opportunities to demonstrate abilities that may not be apparent on their regular jobs and will help you evaluate employees for future training and assignments. Employees will be paving the way toward increased status, responsibility, and possibly future promotion. Also, you develop team spirit that is so important for job satisfaction. FSN employees frequently are apprehensive about temporary assignments fearing that if another employee learns their job it may threaten their own security. Make it clear to employees that they will benefit from such training.

(3) Cross-training tips

a. Identify a factor in each job that needs to be known by another. Does anybody else know it now?

b. Reassign one new task to each employee.

c. Meet with all employees to announce your overall plan for cross training.

d. Meet individually with each employee to explain the particular assignment.

e. Establish a time limit for learning the new task according to difficulty.

f. Tell employees that their next efficiency report will consider their teaching and learning skills.

g. Follow-up to identify problems. Help those who are not good teachers.

A sample "Cross-Training Record Sheet" is attached (3 FAH-2 H-136 Exhibit H-136.2).

(4) Set high work standards

Setting high work standards is essential in developing your employees. Think how quickly you would lose interest if your job lacked challenge or if your supervisor accepted shoddy work. We all identify with our work and are proud if we produce quality. Never be afraid to insist on top quality. Do not shy away if the first reaction from employees is a groan. In the end, they will have much more respect for you, their work, and themselves.

(5) Encourage ambition

Finally, if any of your employees feel that they are not in the right type of work or are ready for more responsibility than you can offer, you can help by making appointments for them with the personnel officer to discuss other job possibilities. Although employees must realize that transfers are made only after careful consideration, it is important that they know they have your assistance in seeking a change.

3 FAH-2 H-136.6 Summary

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

Employees have different skills and interests, and their attitudes, intelligence, and motivation affect their response to training. The successful trainer always remembers the individual's abilities and special needs when planning and presenting training. Follow-up and periodic reinforcement are necessary to ensure that training objectives are met.

3 FAH-2 H-136.7 References

(TL:FSNH-025; 08-01-2003)

(Uniform State/AID/USIA/Commerce/Agriculture)

See 3 FAM 7630 for Training

Interagency Handbook on Foreign Service National Personnel Administration (FSNPAH), Section 9, Career Development and Training.

3 FAH-2 H-137 PROMOTIONS, WITHIN-GRADE INCREASES, AND DOWNGRADES

3 FAH-2 H-137.1 Key Concepts

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

a. Employees should receive opportunities to advance and effectively use their skills according to the organization's needs.

b. Within-grade increases are intended to financially reward employees for satisfactory performance and length of service.

c. Downgrades result only from the downward reclassification of the incumbent's position or reassignment to a position at a lower grade.

3 FAH-2 H-137.2 Promotions

(TL:FSNH-025; 08-01-2003)

(Uniform State/AID/USIA/Commerce/Agriculture)

A. Basis

In order for an FSN employee to be promoted, a position properly classified at a higher-grade level must be available. The employee also must have served the required waiting period of 52 weeks or, in certain instances, 26 weeks, and must have the necessary knowledge and skills to perform the work.

B. Promotion-from-within

(1) Policy and guidelines

To ensure that FSN employees receive opportunities for advancement, an interagency program for promotion-from-within has been established at all *abroad* missions. This program, though designed to be a primary approach to filling vacancies, does not preclude concurrent outside recruitment. Upon becoming a supervisor, ask the personnel officer for a copy of the guidelines for promotion-from-within for your post. (See 3 FAH-2 H-133.5 , Employment, and References at the end of this section for additional information.)

(2) Internal promotion vis a vis external recruitment

Good management fills a vacant position, where possible, with an employee who knows the organization, whose potential and motivation are known to the mission, and whose experience and educational background legitimately meet the requirements of the position. Certain jobs are similar from one organization to another, but many jobs require specialized knowledge that can be obtained only within the mission. Even for jobs that do not seem to be unique, knowing the people, procedures, and policies of the mission has value. Locally hired employees, no less than U.S. employees, are vitally interested in opportunities for promotions and are equally disappointed when higher level positions are filled from recruitment outside, especially when available employees on the rolls are as good as or better than those recruited. Employees work harder if they believe this leads to promotion. Realistic hopes for advancement also give stability to the work force. However, not all positions can or should be filled internally. Bringing in new people with new talents, new ideas, and new approaches benefits the mission. They can breathe new life into an organization and prevent stagnation. When considering replacements for higher level positions, you must balance these factors, bearing in mind your responsibility to worthy mission employees, the usually higher cost of outside recruitment, and comparative training requirements.

(3) Reassignments

FSN employees of all agencies should be released to fill positions for which they have been selected, except in the most exceptional circumstances. (See FSNPAH, Exhibit 10.14.) The personnel officer will coordinate with both supervisors to minimize the disruption of the two offices. Since the post's promotion-from-within policy also will apply to filling the positions being vacated, there usually will be a personnel gap somewhere. It is fair that both offices share it.

C. Eligibility

Before taking action to promote an FSN employee, the personnel officer must ensure that the employee:

- a. Meets the qualification requirements for the higher level position.
- b. Meets the required minimum waiting period between promotions. Usually this will be 52 weeks; however, in some trainee situations 26 weeks is the minimum.

See 3 FAM 7574 , 3 FAM 7575 , and 3 FAM 7576 and FSNPAH Section 10.1c for full explanation of promotion eligibility requirements.

D. Authorizing promotions

Supervisors initiate promotion recommendations. The personnel officer serves as the technical expert in determining that all administrative requirements are met. Posts have authority to approve promotions to the next higher grade; however, promotions of more than one grade, which may be given in exceptional cases, require the approval of the Washington regional bureau or other agency headquarters. If you believe that you have an exceptional case, consult your personnel officer about how to submit such a promotion recommendation. Supervisors should be aware that if any employee is promoted more than one grade by the post without the prior approval of the regional bureau concerned, the promotion must be rescinded and salary overpayment corrected.

E. Effective date

All promotions must be approved and processed before their effective date. Promotions cannot be made retroactively. To avoid disappointments, never promise an employee that a promotion will be effective on a particular date until you have confirmed that date with the personnel officer.

3 FAH-2 H-137.3 Within-Grade Increases

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

A. Regular

a. Salary increments, within each grade of the salary schedule, are provided to reward employees financially for satisfactory performance. The amount of these increases and the waiting period form an integral part of the local compensation plan. The minimum waiting period is 52 weeks, but a longer waiting period may be established in accordance with local practice. Each mission develops uniform criteria and performance standards to govern the granting of these increases. Refer to your post publication on within-grade increases for guidance.

b. Within-grade increases, as provided in the local compensation plan, are mandatory if performance standards are met. An employee's work must be of "an acceptable level of competence" in order for the employee to be eligible for an increase. Exact standards of competence may differ from post to post or from job to job; however, certain general factors apply in every case, namely:

- (1) Quality and quantity of work.
- (2) Meeting deadlines.
- (3) Acceptance or exercise of supervision.

(4) Willingness to help and cooperate with others.

(5) Dependability, trustworthiness, and good attendance.

c. In judging whether or not an employee has earned this increase, ask yourself such questions as:

(1) Is this employee doing as well as I can reasonably expect?

(2) Does the employee's work meet the job requirements?

(3) How much effort does it take for me to get him or her to do an acceptable job?

(4) Does he or she willingly accept tasks?

(5) Does he or she make necessary decisions correctly and promptly?

(6) Has he or she earned an increase in pay?

d. If you decide that an employee's work is not of an acceptable level of competence, discuss the case with the personnel officer and then notify the employee promptly, in writing. Give the personnel office a copy of the notification to be included in the employee's official personnel folder. If you have been working with the employee, this should come as no surprise; you will have given earlier warnings, either orally or in writing, when work performance was failing to meet that level.

B. Meritorious

The mission may grant meritorious step increases provided such increases are the local general practice. Check with your personnel officer to find out if meritorious step increases are authorized and, if so, to learn about rules governing such increases. An employee can receive no more than one such increase within any 52-week period. These increases do not change the waiting period for regular step increases.

3 FAH-2 H-137.4 Downgrades

(TL:FSNH-025; 08-01-2003)

(Uniform State/AID/USIA/Commerce/Agriculture)

A downgrade is a reduction in the grade of an FSN employee that results from either downward reclassification of the position or reassignment to a position with a lower grade. Downgrades result from application of position classification standards, transfer to a lower grade position, reorganization, reduction-in-force, or changes in a position's responsibilities. Sometimes grade and salary retention procedures apply.

A. Grade Retention

Grade retention entitles the incumbent to retain temporarily an employee's pay entitlements as if they had not been downgraded and provides a reasonable period to try to place the employee in another position that will sustain the grade. Grade retention is authorized only at posts where the worldwide FSN position classification system is in effect: it applies to both initial implementation of the system and subsequent implementation of new or revised position classification standards. An FSN employee in grade retention status is entitled to receive the full amount of any general wage increase and any within-grade increase otherwise due, unless the employee is already in a saved-pay status.

B. Downgrades not associated with grade retention

Except for those circumstances that meet the criteria for grade retention status, FSN employees who occupy positions that are downgraded for any reason are entitled to saved pay. In terms of salary, no employee should suffer a decrease in pay at the time of downgrading. Always keep in mind that positions may not be downgraded on the basis of an employee's unsatisfactory performance nor should downgrades be used as disciplinary measures. Regulations and instructions governing grade and salary retention and saved pay are provided in 3 FAM 7326, 3 FAM 7590 and FSNPAH, Section 10.3. The personnel officer also will inform and guide supervisors if any position is scheduled for a downgrade.

3 FAH-2 H-137.5 Summary

(TL:FSNH-2; 2-10-92)
(Uniform State/AID/USIA/Commerce/Agriculture)

Employees should receive opportunities for advancement according to their skills and needs of the organization. Supervisors should not stand in the way of an employee's advancement but should willingly release an employee to another section or agency for promotion. A position must have been established at a higher grade before a promotion can be made. Satisfactory performance and length of service are recognized through within-grade step increases.

3 FAH-2 H-137.6 References

(TL:FSNH-025; 08-01-2003)
(Uniform State/AID/USIA/Commerce/Agriculture)

See 3 FAM 7500, for FSN Employee Promotions, Within-Grade Increases, and Downgrading.

Interagency Handbook on Foreign Service National Personnel Administration (FSNPAH), Section 10, Promotions, Within-Grade Increases, and Downgrading.

3 FAH-2 H-138 INCENTIVE AWARDS

3 FAH-2 H-138.1 Key Concepts

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

- a Recognizing exceptional work motivates employees to do their best.
- b. The suggestions program provides an outlet for recognizing employees' innovative and creative ideas.

3 FAH-2 H-138.2 Awards As Incentives

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

- a. Incentives Awards Programs for Foreign National employees are important management tools. Knowing all the possibilities that Incentive Awards programs offer can help you to reward good work and also motivate your employees to perform well. You will be able to recommend special honor or performance awards for your employees, either individually or as a group, when they have distinguished themselves in a crisis or turned in consistently superior performance over a long period.
- b. Awards, which can be made at any time, should be recommended promptly when deserved. Awards programs can be abused, but when used appropriately at the proper time, they can focus attention on actions and activities that contribute to program goals.

3 FAH-2 H-138.3 Awards Programs

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

- a. Under the authority of the Chief of Mission, a Joint Country Awards Committee (JCAC) administers Mission awards programs. The personnel officer provides overall information, guidance and support to the Committee and to Mission employees.
- b. Mission publications on incentive awards programs contain information on criteria and procedures for the most commonly used awards. Complete information on available awards and procedures for nomination may be obtained in consultation with the personnel officer.

c. Only direct-hire FSN employees are eligible for awards under the Department Incentive Awards Program. Foreign National PSC employees may be nominated for awards under a separate interagency incentive awards program. Awards for non-personal services contract employees are not authorized in any incentive awards program.

d. The following are types of awards for which you may recommend Foreign National employees. Keep in mind that there are limitations on eligibility, depending on the employee's agency and employment category:

A. Honor awards

These awards recognize superior achievement and bestow singular honor and official recognition on an individual or group. Careful examination of the criteria and eligibility for honor awards should be made to determine when to use such awards.

B. Performance awards

(1) Sustained superior performance cash awards

Cash performance awards, given to recognize superior or sustained high-quality work or a special act or service for a significant period of time. The performance exceeds normal requirements and is reflected in the current and applicable performance evaluation. A cash award may be given in addition to an honor award, although not more than once a year.

(2) Safe driving awards

This award is given annually to full-time chauffeurs for outstanding driving care and ability. Employees who have driven one or more years without a preventable accident and whose other performance is highly satisfactory are eligible for the award. The chauffeur receives a percentage of annual salary that increases with consecutive years of safe driving up to 5 years after which the percentage remains the same. However, any year in which a driver fails to qualify causes the driver to lose eligibility and necessitates starting a new series of consecutive years of safe driving.

(3) Suggestions

Suggestion awards give you a chance to work closely with and encourage your employees. For example, you might point out some of the problems in your unit that employees could try to solve by offering suggestions. Then help your employees develop and present their suggestions in the best possible form. If any suggestion is not approved, explain why so that the employee learns and is encouraged to try again. If a suggestion triggers a related idea elsewhere, be sure that the employee is given credit.

(4) Length of Service (Career Service) Awards

These awards officially recognize long service with the U.S. Government; for the most part, although they are not monetary, these awards are appreciated by FSN recipients. Sometimes they are the only recognition an FSN employee may receive for years of dedicated service. Although the personnel officer will initiate these awards and will arrange for an appropriate presentation ceremony, you should not overlook the occasion to recognize and show your appreciation for the employee's faithful service. Make every effort to attend the ceremony and to pay tribute to employees receiving awards.

3 FAH-2 H-138.4 Summary

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

Incentive awards programs are designed to encourage employees to improve efficiency and effectiveness of operations, to recognize such participation, and to regard employees, individually or in groups, who perform special services in the public interest in connection with their official employment.

3 FAH-2 H-138.5 References

(TL:FSNH-025; 08-01-2003)

(Uniform State/AID/USIA/Commerce/Agriculture)

See 3 FAM 7620 for Incentive Awards Program

3 FSN 962 Incentive Awards for Foreign National Employees Interagency Handbook on Foreign Service National Personnel Administration (FSNPAH), Section 11, Incentive Awards. Interagency PSC Incentive Awards Program (STATE 244313, 7/25/91) Handbook on Foreign National PSCs.

3 FAH-2 H-139 DISCIPLINARY ACTIONS AND GRIEVANCES

3 FAH-2 H-139.1 Key Concepts

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

- a. Discipline is a form of training.
- b. For discipline to be acceptable, the rules must be communicated effectively and the penalties must be imposed consistently.

- c. Grievances represent a breakdown in communication.

3 FAH-2 H-139.2 Reasons for Disciplining

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

The responsibilities and standards of conduct of Foreign Service employees also apply to FSN personnel. To maintain the highest standards of honesty, impartiality, and conduct, which are essential to the performance of the mission's business, employees must avoid misconduct and conflicts of interest. Disciplining an employee in Federal Service is not simple, but it is not as complicated as is usually believed. Of the many reasons why disciplinary action is sometimes necessary, some of the more usual ones are:

- a. Insubordination, such as refusing to accept orders or failing to comply with written or oral rules and instructions.
- b. Dishonesty.
- c. Negligent or unauthorized use of U.S. Government property.
- d. Misconduct on or off the job.
- e. Repeated unexcused tardiness or absence, or abuse of sick leave.

3 FAH-2 H-139.3 Supervisor's Responsibility

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

- a. Supervisors must ensure that their employees properly observe the rules of conduct. They should counsel employees whenever some performance or conduct raises problems.
- b. Finally, after all other methods have failed, supervisors must take appropriate disciplinary action when employees still do not meet established standards.

3 FAH-2 H-139.4 Counseling

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

a. Since you often resolve problems with counseling, this should be your first approach. When you talk to an employee, meet in private where others will not overhear you. Encourage the employee to talk freely about his or her problem and listen closely to what he or she has to say. Do not interrupt or give advice or moralize. Above all, do not argue or lose your temper. Try to get to the root of the problem. Do not jump to conclusions; the employee may not understand his or her own problem, and you may not have all the facts. Additional advice on counseling can be found in 3 FAH-2 H-139 Exhibit H-139.2 , "A Systematic Approach for Resolving Issues with Difficult or Problem Employees," and 3 FAH-2 H-139 Exhibit 139.3 , "Tips and Techniques for Dealing with Difficult Employees" plus "How To Cool Down A Conflict".

b. Some employee will always make any solution other than disciplinary action unwise or impossible. Once you have decided that disciplinary action is required, act immediately. Discipline is your job. You cannot pass it to someone else. The personnel officer, who can advise you, is responsible for compiling the written evidence and for formally recommending the appropriate action to be taken.

3 FAH-2 H-139.5 How to Administer Discipline

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

Disciplinary action is taken to obtain compliance with established rules of conduct, to correct improper conduct. As a form of training, it depends on effective communication. To deserve disciplinary action, an employee must be aware of a rule yet refuse to accept it. Be sure to direct your action against the act and not the person. Remember the following when administering discipline:

- a. Be sure that all your orders are reasonable and understandable.
- b. Positive discipline is based on effective communication.
- c. You want to change the behavior, not punish the individual.
- d. Employees expect justice and equal treatment. Be firm but fair. Enforce rules consistently. Disciplinary action should be neither more nor less than expected. Excessive leniency as well as excessive harshness can cause dissatisfaction.
- e. Be sure of your facts. Keep good records and investigate thoroughly before taking disciplinary action.
- f. Always reprimand in private.

g. Be prompt. The more quickly discipline follows the offense, the more effective it will be.

h. Keep discipline impersonal. Be sure that the employee realizes that you are criticizing a particular behavior, not his or her total personality.

i. Control your temper. Never act when angry.

j. Do not apologize for taking a necessary disciplinary action.

k. Outline consequences of future violations and follow through.

l. Show confidence in the employee's ability to change. Always end a reprimand on a positive note.

m. Restore your normal relationship with the individual as soon as possible after the reprimand.

3 FAH-2 H-139.6 Types of Discipline

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

A. Leave restrictions

See 3 FAH 134.4 , Controlling Leave, for guidance.

B. Reprimands

(1) Oral reprimand

Except in matters of great significance, oral reprimands always should be the first step. This gives employees time to mend their ways without the matter becoming a part of their official personnel record. However, you should keep a record, usually in the form of a memorandum for record, of the date and subject of the oral reprimand. If more stringent action needs to be taken, appropriate records of your attempts to correct the problem could avert a grievance at a later date.

(2) Written reprimand

Use a written reprimand when an oral reprimand has failed or when the offense is more serious. Although the reprimand may be written by either the supervisor or the personnel officer, the supervisor signs it. Always consult the personnel officer before initiating a written reprimand. The employee has a right to submit a statement that refutes the charges or sets forth mitigating circumstances. All written reprimands including the employee's statement, become a part of the employee's official personnel file.

C. Exclusion from official premises

This disciplinary action sometimes is taken when an employee's conduct poses a security risk or danger to the official funds or property of the post. Always consult the personnel officer and the security officer if you are considering this type of action. Dismissal may be required.

D. Suspension

This action forces an employee out of the job and deprives the person of pay. Since it is a very serious matter, consider suspension only after reprimands have failed or when the gravity of an offense warrants more stringent action short of dismissal. If you think that suspension is the right action, discuss it fully with the personnel officer.

E. Separation for cause

As the most drastic type of disciplinary action that can be imposed, separation for cause is employed only as a last resort after other, less severe reprimands or corrective actions have been tried. This action is used to dismiss an employee on charges of delinquency; misconduct; obvious fraud in gaining employment; and an employee's willful, careless, or negligent action beyond reasonable excuse. An employee who is separated for cause can be denied other employment on these grounds and can, depending on the country, lose certain privileges under the host government's social insurance system. Use the greatest care and judgment, therefore, when taking this action. Always consult the personnel officer. A growing number of FSN's have filed suits in local courts or with Labor Departments when post local labor practices have been violated.

3 FAH-2 H-139.7 Handling Complaints and Grievances

(TL:FSNH-2; 2-10-92)

(Uniform State/AID/USIA/Commerce/Agriculture)

Complaints and grievances, which represent a breakdown in communication, occur when an employee thinks something connected with his or her job is wrong. Although it may not be wrong, the important thing is that the employee thinks it is wrong. An employee's dissatisfaction will affect performance. Do not allow grievances to fester. Even though you may think that a complaint is unreasonable, it can develop into a major incident. Attitudes and expectations of FSN employees, in particular, often differ from those to which you are accustomed; at the root of a complaint may lie a basic misunderstanding of which you are unaware. Consistency is important; trouble often arises not from the policy itself but from the inconsistency with which it is administered. If your decision in a situation does not conform with previous ones, be sure your employees understand the reason for the change.

A. Averting complaints

The goal of eliminating all complaints, like preventing all accidents, remains in the realm of the ideal. However, many complaints and grievances can be averted by adopting some time-tested techniques:

- (1) Keep employees informed.
- (2) Correct minor irritations promptly.
- (3) Encourage constructive suggestions.
- (4) Keep promises.
- (5) Avoid showing favoritism.
- (6) Respect employees' privacy when taking corrective actions.

B. Post Grievance Plan

Regulations on FSN employees call for post procedures to handle FSN grievances. If, despite your efforts, a formal grievance develops, consult with the personnel officer and follow procedures to the letter. The Chief of Mission is the final arbiter of an FSN employee grievance, although the responsibility can be delegated. The post's decision is final and is not subject to further appeal to Washington. FSN's, of course, do have recourse to local courts and labor offices.

3 FAH-2 H-139.8 Summary

(TL:FSNH-2; 2-10-92)
(Uniform State/AID/USIA/Commerce/Agriculture)

For discipline to be accepted, supervisors must effectively communicate the rules and consistently impose the penalties. The sequence of penalties is: 1) oral warning, 2) written reprimand, 3) suspension, and 4) dismissal. FSN employees must be granted the right to present their grievances to the proper authority without fear of restraint, discrimination, or reprisal.

3 FAH-2 H-139.9 References

(TL:FSNH-025; 08-01-2003)
(Uniform State/AID/USIA/Commerce/Agriculture)

See 3 FAM 7700 for FSN Employee Disciplinary Actions.

Interagency Handbook on Foreign Service National Personnel Administration (FSNPAH), Section 12, FSN Employee/Management Relations.

3 FAH-2 H-136 Exhibit H-136.2 FORMAT FOR CROSS TRAINING RECORD SHEET

Cross-Training Record Sheet

Post _____ Office Symbol _____

For the purpose of cross training, the following will act as:

FSN Instructor _____

FSN Student _____

The procedure to be taught/learned is

Important factors that must be conveyed are:

Training is to be completed by _____

Periodic assignment of progress: _____

_____ (date) _____ (Short narrative assessment by supervisor)

Final assessment

—by Student _____

—by Instructor _____

—by Supervisor _____

—by American Supervisor _____

3 FAH-2 H-139 Exhibit H-139.2 A SYSTEMATIC APPROACH TOWARD RESOLVING ISSUES WITH DIFFICULT OR PROBLEM EMPLOYEES

- A. Define the Problem
- B. Analyze the Cause of the Problem
- C. Create a Plan for Approaching the Employee
- D. Hold a Coaching/Counseling Session with the Employee
- E. Develop a Plan to Resolve the Problem with Involvement from the Employee
- F. Follow up to Ensure the Problem is Being Resolved
- G. Face the Consequences

A. Define the Problem

1. Determine in measurable terms (amount, quality, time) the performance/behavior you want, need, or expect.
2. Describe current behavior in specific terms. Gather factual information.
3. Be sure that your expectations are reasonable, understandable, measurable, and attainable.
4. Consider the result of solving the problem; are the resources expended to create the change justified?

B. Analyze the Cause of the Problem

1. Does the employee know what you expect?
2. Does the employee have the skills and resources necessary to do what you expect?
3. Has the employee encountered outside forces that affect his/her ability to meet the expectations?
4. Is the employee sufficiently motivated to perform/ behave as expected?

C. Create a Plan for Approaching the Employee

1. Be certain that you have "just cause"—a legitimate behavior or performance problem that affects the efficiency, safety, or security of your operation.
2. Collect all of the facts, figures, and prior documentation related to the performance/behavior problem.

3. When approaching the employee, have a clear picture of your desired outcome.

4. Think through what can go wrong in the session and how to control the situation.

D. Hold a Coaching/Counseling Session with the Employee

1. Present the problem to the employee in a specific and objective manner.

2. Get the employee to agree that a discrepancy exists between current performance/behavior and your expectations.

3. Tell the employee the consequences of continuing the current performance/behavior.

4. Ask the employee to analyze the cause of the problem. Share your analysis if appropriate.

5. Ask the employee how he/she would resolve the problem and then mutually develop a plan to correct the problem.

6. With the employee, establish specific objectives, a timetable, and a method of measurement.

7. Set up a system to monitor the employee's performance/behavior.

8. Review commitments that have been made: You review yours and then have the employee review his/hers. Document these commitments.

E. Follow Up to Ensure the Problem is Being Resolved

For counseling to effectively resolve performance/behavior problems, the supervisor must:

1. Schedule regular feedback sessions to build a working partnership, catch problems before they become serious, and demonstrate that you are concerned about your employees and their performance.

2. Live up to your commitments, following up in a firm, fair and consistent way and administering rewards and sanctions are required.

3. Keep records, inform the employee what is on file, administer discipline if necessary, and follow established procedures.

3 FAH-2 H-139 Exhibit H-139.3 TIPS AND TECHNIQUES FOR DEALING WITH DIFFICULT EMPLOYEES

A. COPING-WITH-DIFFICULT-EMPLOYEES FIRST AID KIT

1. Set clear and measurable standards of performance and behavior.
2. Be sure employees have the necessary skills to do their jobs.
3. Give employees the resources they need to be successful.
4. Help employees deal with outside business and social forces that stand in the way of good performance on the job.
5. Remove all performance barriers before blaming employees for poor performance.
6. Move in quickly on performance problems.
7. Plan all coaching and counseling sessions.
8. Present problems to employees in specific terms.
9. Get employees to agree that a problem exists.
10. Tell employees the consequences if their poor performance or behavior continues.
11. Involve employees in solving their performance and behavior problems.
12. Establish specific improvement objectives, timetables, and measurements for problem employees.
13. Follow up with employees on commitments made.
14. Do not diminish employee's sense of dignity.
15. Counsel in private.
16. Show concern for both performances and employees.
17. Do not hold counseling sessions when emotions are out of control.
18. Be firm, fair, and consistent.
19. Use open-ended questions to learn the employee's point of view.

20. Do not let employees divert the conversation from the performance or behavior issue being discussed.

21. Focus on solutions and the future.

22. When discipline is required, use it.

23. Warn employees that their behavior will cause disciplinary action.

24. Investigate before you discipline; document your facts.

25. Discipline evenhandedly and without discrimination.

26. The discipline should consider both the seriousness of the offense and the past record.

27. Carefully explain regulations and procedures.

28. Document all discussions, actions, and commitments made in disciplinary meetings.

29. Have "just cause" before you discipline or dismiss.

30. Monitor performance closely during the probationary period and weed out potential problem employees.

31. Listen to employees' complaints and suggestions.

32. Provide employees with feedback on their complaints and suggestions.

33. Establish standards of performance and behavior that are reasonable understandable, and attainable.

34. Tell employees why their jobs are important.

35. Let employees know what decisions they have the authority to make.

36. Provide employees with regular and objective feedback.

37. Allow employees to participate in decisions that affect their worklife whenever possible.

38. Make the workplace consistent and predictable.

39. Provide employees with opportunities for personal and professional growth.

40. Reward positive performance and behavior.

41. Don't take good performance for granted.

42. Make rewards specific, honest, and in proportion to the behavior.

43. Be a model of accountability by doing what you say you will do.

B. HOW TO COOL DOWN A CONFLICT

25 TIPS FOR COOLING DOWN A CONFLICT

1. Hold session only when you and your employee are in control of emotions.

2. Meet in private without interruptions.

3. Let subordinate know the session is serious and may take some time.

4. Show concern for undesirable performance/behavior and the subordinate.

5. Preserve the subordinate's sense of dignity.

6. Describe the performance/behavior; do not evaluate it.

7. Be specific and firm, not general and wishy-washy.

8. Do not overload; have a specific objective in mind.

9. Ask open-ended questions.

10. Listen and demonstrate that you have heard.

11. Do not allow yourself to be diverted; stay with the original problem until it is resolved.

12. Stay solution-oriented and future-directed.

13. Get the subordinate to recommend a solution.

14. Do not demand change; instead, stress the consequences of the current performance/behavior.

15. Keep in mind that most conflicts are caused by misunderstanding.

16. Don't get hooked into the conflict; your first task is to reduce the tension.

17. Deal with the other person's feelings first.

18. Do not present logical conclusions until the level of tension is lowered.

19. Listen to what the person has to say. You don't have to agree with it, just listen to it.

20. Don't get defensive; it will only raise the level of tension.

21. Let the other person talk him/herself out. Listen for what he/she is feeling, i.e., cheated, taken advantage of, etc.

22. Make it clear to the person that you understand how he/she feels—show some empathy.

23. Clarify what you think the problem is.

24. Do not move to problem-solving until you both agree on the problem.

25. Jointly agree on a solution if possible, and state what actions will be taken in the future.