

Department of the Army
Pamphlet 690-43

Civilian Personnel

A Supervisor's Guide to Career Development and Counseling for Career Program Employees

Headquarters
Department of the Army
Washington, DC
18 August 1989

UNCLASSIFIED

SUMMARY of CHANGE

DA PAM 690-43

A Supervisor's Guide to Career Development and Counseling for Career Program
Employees

RESERVED

FOREWORD

Supervisors, as leaders, have a responsibility to provide career counseling to help employees develop to their highest potential. This pamphlet furnishes guidance and information aimed at improving supervisors' skills in counseling and career development of the civilian workforce. The focus of this pamphlet is an explanation of the process of career development, its relationship to counseling, and why career development and counseling are an important part of supervisors' duties. The views expressed in this pamphlet are intended to stimulate thought and aid supervisors in the performance of career counseling duties.

Civilian Personnel

A Supervisor's Guide to Career Development and Counseling for Career Program Employees

By Order of the Secretary of the Army:

CARL E. VUONO
General, United States Army
Chief of Staff

Official:

WILLIAM J. MEEHAN II
Brigadier General, United States Army
The Adjutant General

History. This publication has been reorganized to make it compatible with the Army electronic publishing database. No content has been changed.

Summary. Not applicable.

Applicability. Not applicable.

Proponent and exception authority.

The proponent agency of this pamphlet is the U.S. Total Army Personnel Command.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to HQDA (TAPC-CPD), 200 Stovall Street, ALEX VA 22332-0300.

Distribution. Distribution of this publication is made in accordance with the requirements on DA Form 12-09-E, block number 1106, intended for command level C for Active Army and C for ARNG. This publication is not distributed to the USAR.

Contents (Listed by paragraph and page number)

Chapter 1

Career Development, page 1

What Is Career Development? • 1-1, page 1
Employee Career Development • 1-2, page 1

Chapter 2

Career Development Responsibilities, page 1

Management's responsibilities in career development • 2-1, page 1
Effective supervisory participation • 2-2, page 1

The employee's responsibilities in career development • 2-3, page 2

Problems in career development • 2-4, page 2

Overcoming problems in career development • 2-5, page 2

Chapter 3

CAREER COUNSELING TECHNIQUES, page 2

What Is Career Counseling? • 3-1, page 2

Chapter 4

Providing Career Counseling, page 3

Effective career counseling techniques • 4-1, page 3
Preparing for the counseling session • 4-2, page 3

Contents—Continued

Initiating the counseling session • 4-3, *page 3*
Conducting the counseling session • 4-4, *page 4*
Use effective counseling techniques • 4-5, *page 4*
Closing the counseling session • 4-6, *page 4*
Followup after the counseling session • 4-7, *page 4*

Chapter 5

CAREER GOALS DEVELOPMENT

Stage I - Career Goal Identification, *page 7*

Goal Exploration • 5-1, *page 7*
Goal setting • 5-2, *page 7*
Summary • 5-3, *page 7*

Chapter 6

Stage II--Development Planning, *page 7*

Career development planning • 6-1, *page 7*
Preparing for the IDP • 6-2, *page 8*
IDP planning interview • 6-3, *page 9*
Implementation of the IDP • 6-4, *page 9*

Chapter 7

Coaching, Counseling, and Mentoring, *page 9*

Coaching • 7-1, *page 9*
Coaching versus counseling • 7-2, *page 9*
Mentoring • 7-3, *page 9*
Phases of the mentoring relationship • 7-4, *page 10*
The process of mentoring • 7-5, *page 10*

Chapter 8

Performance Appraisal Process: A Part of Career Development, *page 11*

Performance Appraisal and Career Development • 8-1, *page 11*
Preparing for the appraisal interview • 8-2, *page 12*
Seven areas to cover in the appraisal process • 8-3, *page 12*
The performance appraisal interview • 8-4, *page 13*
Summary • 8-5, *page 14*

Appendixes

- A.** Career Development Guidelines, *page 15*
- B.** Bibliography, *page 15*

Chapter 1 Career Development

1-1. What Is Career Development?

Career development is a process by which you, the supervisor, help employees plan their career growth. This pamphlet will help you understand the steps of the career development process--use of career counseling to assist employees in developing their career goals and implementing their career plans.

Almost everyone wants to develop his or her potential and expand his or her capabilities. With development comes higher self-esteem, self-confidence, and, hopefully, a brighter future as well. Career development is designed to help employees match their knowledges and skills with work opportunities. It should sustain or improve morale and productivity through increased employee motivation and job satisfaction.

Few, if any, supervisors have run a successful program without the efforts of their staff members. From a supervisory viewpoint, developing employees helps the supervisor to--

- a. Maintain a staff of talented, ambitious people.
- b. Improve the supervisor's own performance evaluation (since supervisors get work done through others, the better the employee's performance, the greater the supervisor's achievement).
- c. Improve employee morale, job satisfaction, and work performance by matching employee and organization needs.
- d. Encourage and assist personal growth by providing the opportunity for each employee to realize his or her potential.

1-2. Employee Career Development

Employee career development has the following four goals:

- a. To give each employee a chance to evaluate his or her needs, interests, and skills in relation to career opportunities inside and, possibly, outside the employee's career program.
- b. To help the employee develop short- and long-range career goals.
- c. To explore ways for meeting those goals.
- d. To identify resources to help meet the employee's career development needs.

Chapter 2 Career Development Responsibilities

2-1. Management's responsibilities in career development

Supervisor's role. As a supervisor, you have many different roles (that is, organizer, leader, evaluator, director, planner, developer, and resource manager). Your position allows you to combine the talents of employees under your supervision to accomplish the objectives of the organization. This employee-supervisor relationship helps you meet two of your most significant challenges--to accomplish your mission effectively and efficiently and to provide fulfilling work experiences that develop your employees' capabilities and potential.

No one else in the organization can offer employees what you can--a valuable perspective on their abilities and job performance. You are in the best position to observe work behavior, know what tasks need to be done, know how well an employee performs tasks, identify when an employee is underutilized and expand his or her responsibilities, and know how a particular job or employee fits into the larger organization. Because of the long-range effect career counseling may have on an employee's career, it is essential that you develop effective counseling skills and techniques and use them effectively.

The career development process is designed with two supervisory roles in mind--career consulting and development planning. Your

function is to see that employees are increasingly effective in achieving organizational goals through encouraging the learning and growth of knowledges and skills. You must be willing to invest time, share experiences and knowledge of the organization, and think creatively of how the employee's and the organization's goals can be integrated. Research results show that employees feel that good supervisors treat them as individuals, show interest in their welfare, recognize good work, listen well, establish rapport, and encourage participation. Also, supervisors who maintain and improve employee self-esteem are perceived as effective and gain their fullest cooperation.

Your counseling role is supported by career program officials at all levels and by the civilian personnel office (CPO). Career program functional chiefs, assisted by functional chief representatives and central referral offices (CROs), provide activity career program managers (ACPMs) with career program information that will help employees make decisions in career planning. Using these sources, the following information should be provided:

- (a) Number of positions by series and grade in the career program.
- (b) Career progression patterns within a career program.
- (c) Scope of opportunities for advancement (for example, turnover data and number of referrals during the previous year).
- (d) Opportunities for training and developmental assignments.
- (e) Demographic data and other information that would be useful in career planning.

Command career program manager's (CPM's) role. The CPM supplements information provided by FCs and FCRs by providing information on career program matters of command interest, including commandwide career opportunities. This type of information should be exchanged among command CPMs and made available to ACPMs to assist employees who wish to register in other command inventories.

Activity career program manager's (ACPM's role). The ACPM serves as the principal counselor to supervisors on career program matters at the installation level. An ACPM provides information on career matters, realistic goal setting, opportunities within the command and other commands, and training and developmental activities.

Employee development specialist's (EDS's) role. An EDS in the CPO informs supervisors about training sources and helps supervisors plan and schedule employees for training. If training in counseling techniques and principles is desired, the EDS would assist in scheduling supervisors and ACPMs for such training.

In summary, you provide employees with information or refer them to the ACPM or CPO personnel specialist as the information source for skills identification, job descriptions, vacancy announcements, and career ladders and paths and point them to written sources of information (such as individual career program regulations).

2-2. Effective supervisory participation

In order to carry out your responsibilities in career development, effective career counseling techniques are needed. The supervisor can be more effective supporting and guiding than directing when employees are developing career objectives. You should be able to provide resource information and access to job and career development information. Such information can identify paths to help employees meet job qualification requirements. You should counsel employees about progressing in their career field, using lateral assignments for development, and identifying training needs in individual development plans (IDPs). You should provide feedback by offering constructive comments when evaluating an employee's career aspirations. Avoid promising specific job availability, raising employee hopes, or projecting your own expectations on the employee's career objectives.

As a supervisor, you are responsible for the following:

Observing. Often too little time is spent gathering information and too much time is spent giving it. A lot can be learned about employees and their motivation through observation. Observation includes getting feedback from the employee. By listening when the employee talks, asking open-ended questions, and giving nonverbal support (smiling or nodding), you can continue to gather data. Ask yourself, is the employee most effective when-

- (a) Working alone or as part of a team?
- (b) Developing a program or working with ideas and theories?
- (c) Generating new and creative ideas or maintaining existing data?
- (d) Having a structured or flexible work environment?
- (e) Maintaining a low profile or having high visibility?
- (f) Writing or speaking?
- (g) Using different knowledges and skills with changing duties or following a set way of doing things?

Focusing and directing. Although supervisors play a passive role when observing, a more active role is needed when focusing and directing. Through discussion with employees, you should communicate your observations, identifying experience, knowledge gaps, or behaviors that limit effective performance. The emphasis is on helping the individual to develop his or her potential and performance. To maximize your ability to help employees, you should be prepared for such questions as: What training will help me perform this job most effectively? Where can I get the training I need? Which job will most likely be my next step? Is there a lateral job or developmental assignment I can take to develop new knowledges and skills or improve old ones? Will I need an advanced degree to progress in this job? What can I be doing now to prepare myself for advancement? Will I need to be mobile in order to advance? Focusing is extremely useful for performance appraisals, counseling sessions, and effective communication on a continuing basis.

Identifying information sources. The career development process is most effective when you are working in coordination with others to provide career development services. (See list of support personnel at p.3.) Additional information sources include career program regulations, pamphlets, and CPO-sponsored workshops.

2-3. The employee's responsibilities in career development

The employee must assume primary responsibility for career planning and personal development. Development will not occur if an employee does not have the ability and desire to grow or develop. Employees are responsible for self-assessment of their current career status, knowledges and skills, mobility, accomplishments, and progress as a basis for setting individual career goals. They should also assess their personal interests, define personal success, determine their willingness to provide the investment of time, effort, and mobility needed to succeed, evaluate alternatives, and develop a timetable. Also, employees are responsible for seeking information on what job or training is available, where it is available, and what training paths are necessary to obtain their goals.

Employees must understand the importance of development in each assignment. This development is important for two reasons. First, the employee needs to develop a successful track record. Growth must be visible in job accomplishments. The employee should learn his or her current job responsibilities and should strive to raise performance of these responsibilities to an above average level. The employee must not become so engrossed in preparing for some future job assignment that he or she ceases to perform effectively in the current job. Being able to draw upon a variety of experience will enable the employee to widen his or her perspective

and apply a comprehensive outlook to later jobs. The current job Should serve as a building block for later opportunities.

2-4. Problems in career development

Unrealistic expectations by employees are a major problem. Career development programs have the unintended effect of raising expectations of participants. Employees often see promotion as the major outcome from such programs and, if there is no promotion, they become disappointed and frustrated. Establishing expectations of advancement can be a disservice when in reality jobs are not always available.

Lack of realistic career opportunity information is also a major problem. One negative side effect of many career programs is that employees engage in self-assessment, goal-setting, and career planning while overlooking the realities and constraints of the organization. Supervisors should provide employees with information on realistic opportunities during the information-gathering process. Questions to be addressed should include the following:

- a. What are the prospects for promotion or transfer from the present job?
- b. What percentage of employees reach a certain target level in this organization?
- c. Where is the fastest growth and, therefore, best promotion opportunity?
- d. If the employee has reached a dead end, by what other career paths can the employee move up faster (such as a lateral move)?

2-5. Overcoming problems in career development

Career counseling is usually directed toward new employees. However, counseling should be keyed to different needs for development at different stages of an employee's career. The career cycle can be divided into the following four stages:

a. *Trial stage.* The person is testing different jobs and organizations, seeking a good fit. Do not withhold career information about limitations on opportunities. This can lead to inflated employee expectations that eventually are blocked. Career planning should focus on helping the employee make a better fit between his or her desires and the realistic opportunities available in the organization.

b. *Establishment or advancement stage.* The person has found a good job fit and is concerned with good performance and advancement. But, do not focus only on advancement. Organizations do not have enough top management jobs open to make advancement a realistic option for large numbers of employees. Planning should focus on activities that would provide job satisfaction for the employee. These activities may or may not entail future promotions. For example, for an employee who has been in the same job for 15 years, a lateral move that provides variety and new challenges may be enough.

c. *Midcareer stage.* The person has achieved many earlier career goals (or has realized how many will not be attained) and is making the adjustment to a new identity. There may be a shift in the relative importance of work and home. Problems usually begin to arise at this stage because most career development is directed at employees in the two earlier stages. However, the Army Civilian Training, Education, and Development System (ACTEDS) should minimize such problems because it identifies training at all stages of an employee's career. An underutilized objective, which is important to the organization and the employee, is keeping employees flexible and adaptive as they grow older. As employees become more concerned with personal fulfillment and quality of life, they may place these outcomes ahead of advancement, especially if advancement involves sacrifices in lifestyle and fulfillment.

d. *Late career stage.* There is a shift in identity to "senior statesman" status. The employee takes on the additional duties of providing guidance and insight to newer employees as an informal mentor in the organization.

Chapter 3 CAREER COUNSELING TECHNIQUES

3-1. What Is Career Counseling?

Career counseling is the method by which you explain the career development process and help the employee identify career goals and career plans. Career development begins with and success depends on effective career counseling. Career counseling focuses on the employee's career goals and the preparation of career plans consistent with Army's future staffing needs. Career counseling should lead to a career plan that identifies the employee's short-term and long-term career goals, the training and development needed to achieve those goals, and the range of career options to provide flexibility for growth and development. Counseling should be directed at getting the right people trained and developed at the right time to fill Army's staffing needs.

All employees covered by a career program are to be offered career counseling at least once a year, or when requested by the employee to assist in developing realistic career plans. (See AR 690-950, Chap 1.) Career counseling should be a continuous process that meets the continuing needs of employees. Effective career counseling is dependent on your knowledge of the career management system. Such information is found in AR 690-950. Specifically, individuals responsible for career counseling must have a working knowledge of the following:

a. The staffing needs in the employee's career field. (See list on page 3.)

b. The career appraisal process used to evaluate qualifications for promotion or for lateral developmental assignments. The two most common centralized career appraisal processes currently being used by the Army are the Skills, Knowledges, Abilities and Personal Characteristics (SKAP) System and the Army Civilian Career Evaluation System (ACCES); ACCES is replacing the SKAP system. Detailed instructions for appraisal are issued, usually annually, by the responsible Army CRO. Appraisal procedures for Department of Defense (DOD)-wide career programs are contained in DOD regulations. Information about decentralized systems can be obtained from the recruitment and placement branch of your local CPO.

c. The rating referral process is based on the results from SKAP or ACCES. In SKAP, screening panel ratings are used to determine the employee's eligibility for referral. In ACCES, there are no screening panels. Accomplishment ratings in ACCES are only one part of an array of weighted scores. The referral list contains best-qualified candidates as determined through the ranking process.

d. Career patterns, qualification requirements, and other criteria governing career program positions are contained in individual career program regulations. Additional information can be obtained from your civilian personnel office.

e. Training and developmental activities are also important. The purpose of ACTEDS is to ensure sequential and progressive technical, managerial, and professional training and development by blending work assignments and formal training into a structured, functionally tailored training and development program. The system will document knowledges and skills required for each occupation and grade level to develop realistic training guides and career progression ladders.

Chapter 4 Providing Career Counseling

4-1. Effective career counseling techniques

The following tips will help you counsel employees more effectively:

Establish trust. Fundamental to the success of counseling sessions is the degree of open and honest communication between you and your employee. You must be honest with the employee. Make it

clear that the organization cannot make promises to the employee. In the end, the employee's career progress will depend on organizational needs, the degree of the employee's commitment to grow and develop, and how well the employee's strengths match organizational staffing needs. Employees may hesitate to talk candidly about career aspirations if they sense a lack of sincerity and honesty on your part. Initiate a climate of trust, warmth, openness, and support to encourage growth.

Play the appropriate role. Your role during the counseling session may differ from other roles you play in relation to your employees. During these meetings, you are acting as an adviser and partner in the career development process. You should downplay your role as performance evaluator, boss, or agenda setter.

Be an active listener. Listen to understand. Look for nonverbal clues to help interpret what is being said. Be alert to fluctuations in voice, hesitations, or other evidence of how an employee feels about what he or she is saying. One technique to help clarify these messages is to restate, rephrase, or give feedback about what you hear the employee saying.

4-2. Preparing for the counseling session

In preparing for the counseling session, the supervisor should do the following:

a. Review the employee's records (SF 171 (Application for Federal Employment) or DA Form 2302 (Civilian Career Program Qualifications Record) performance appraisal and IDP).

b. Develop session objectives (identify main issues, problems, goals, and motivations).

c. Develop tentative counseling questions based on the stated objectives and anticipated employee responses to these questions. The following questions are useful:

(1) What are some of the knowledges and skills you are currently using on the job?

(2) Do you have any other knowledges and skills that you have developed, yet do not use?

(3) Could these be integrated into your current job?

(4) How could your goal fit into the Army's goals?

(5) What would you like to be doing in 1 year, in 2 or 3 years, and in 5 or more years?

(6) Do you think these ambitions will require further training and development, or will they involve off-the-job activities?

(7) How does your current job relate to your career goals? (Applies if employee has developed goals; alerts you to the need for goal setting if the employee has no answer. Prepare to help the employee develop a complete and realistic appraisal of all past work experiences and then relate them to future job goals.)

d. List relevant personnel issues and programs, for example, mobility, Career intern program, methods of development, referral system, training resources, and knowledge of occupations within and outside the career program.

4-3. Initiating the counseling session

At the beginning of the session, you need to set the climate and atmosphere. This consists of greeting the employee by name, making him or her feel comfortable, and establishing the initial relationship and rapport. Encourage the employee to do most of the talking and thinking. The following are possible lead-ins to start the session:

a. What would you like to get from this session?

b. Is this your first counseling experience?

c. Where would you like to start?

d. Go right ahead.

e. How can I help you?

f. "Last session I noticed you said"... NOT: "What is your problem?"

4-4. Conducting the counseling session

Engagement.

This can be achieved by stating the objectives of the meeting and identifying the main issues and problems to be discussed. Keep the employee “on the subject” during the session. Be an attentive, empathic “sounding board” for the employee.

Exploration. At this point, you are exploring whether or not identification of career goals has occurred. If the employee has not developed career aspirations or goals, then career guidance is the type of counseling the employee may need. Indications that necessitate career guidance for an employee are as follows: the employee is just beginning to think about a career, the employee has little awareness of careers that may be satisfying, the employee is unaware of some of the consequences that accompany career changes, the employee lacks a thorough knowledge of what knowledges and skills need to be developed, or the employee possesses limited knowledge about what knowledges and skills are required in particular jobs. If the employee has an established career goal, then the employee needs counseling on career development planning. In this case, the employee has made some career decisions and is ready to set specific development goals. Indications that the employee is at this level are as follows: a general awareness of the career area or desired job, identification of developmental experiences that will help his or her career, desires necessary experiences that provide proficiency as rapidly as possible in a new job, and knows what types of knowledges and skills are utilized on the present or future job.

4-5. Use effective counseling techniques

a. Phrasing questions. One of the easiest ways to cut off any conversational flow from the employee is to ask a question that can be answered “yes” or “no”. For example, the question, “So you want to start a new career?” is far less productive than the question, “How did you happen to think of starting this new career?” This in turn may not be as effective as, “Tell me what you have in mind when you talk about starting a new career.” Questions that can be answered by “yes” or “no” or some similar terminal statement should be avoided.

b. Considering past experiences with career counseling. Many employees will have been counseled many times before. These employees will be comparing you with other counselors or supervisors they have known, good or bad, and providing you with their interpretations of what other counselors or supervisors have told them. At times, it will be necessary to ask employees what others have told them so that you will not be working at cross purposes.

c. Distributing talking time. Many employees being counseled find it difficult to state what they mean concisely. Do not be in such a hurry that you talk over the employee who is fumbling for a word. A frequent error of inexperienced counselors is to put words into an employee’s mouth, talk faster than the employee, or to take the conversation away from the employee. Granted, in directive-style counseling sessions, such as discipline or performance evaluation sessions, it may be necessary to “carry the conversation.” However, in career counseling, most of the talking should be done by the employee.

d. Showing acceptance of employee attitudes and feelings. At various points in the session, the employee may be trying to express the more deep-seated attitudes and feelings that control his or her behavior. Most of us do not find it easy to put into words some of our more private attitudes, resentments, conflicts, and uncertainties. The employee may also fear that you will not approve of what is said. You must indicate acceptance to the employee by not passing judgment on feelings and attitudes. For example, merely saying, “I see,” or “I understand,” or “yes,” will serve to bridge the conversational gap and keep the employee talking. Another effective method for handling such situations is to mirror the feelings and attitudes of the employee by paraphrasing what the employee just said.

e. Avoiding the appearance of cross-examining. Do not fire questions at the employee rapidly. Counseling is not a cross-examination. When it is necessary to take notes or fill out a form, try to

spread out the information-seeking chore throughout the session. Try phrasing questions neutrally. This prevents raising the stress level of the employee.

f. Handling silence during counseling. Most people are embarrassed if no conversation is going on. Silences seem long and endless. The employee may be groping for words or ideas, or you may be studying an earlier bit of conversation. Do not be frightened if silence occurs during counseling. Do not fill the space with idle chatter that can break the trend of thought or interrupt the flow of feeling. If it becomes necessary to break a silence, ask the employee to tell a bit more about the point he or she has just made. This will give the employee a chance to begin talking again. Also, silence on your part can be used to keep the employee talking.

g. Admitting your ignorance. If the employee asks questions for which you have no answer, you should say, ‘I do not know’ rather than answer with vague generalities or in some other way try to cover up your ignorance. The employee will have more confidence in you if you do not hesitate to admit your ignorance. Because you do not know does not absolve you of the responsibility to obtain the necessary facts and pass them on to the employee.

h. Keeping vocabulary simple. Attempts to dazzle the employee with your verbal dexterity will do little to resolve his or her problems. Thus, you should make every effort to determine the verbal ability of the employee being counseled. Why say, “He carefully eliminates all nonfunctional, incremental software, eschewing any conglomeration of flatulent garrulity, jejune babblement or coalescent inconsistency,” when what is really meant is, “He keeps it simple and easy to understand?”

i. Avoiding the personal pronoun. Beware of the personal pronouns “I” and “me.” Their overuse can discourage the employee. The employee is really not interested so much in the supervisor’s opinions and experiences as in trying to formulate his or her own opinions and ideas.

j. Limiting the number of ideas for each session. Beware of information overload. Just as there is the danger of giving the individual a runaround, there is an equal danger in overloading the employee with so many ideas that he or she will forget most of them. Avoiding exploration of too many ideas during one session is particularly important when the ideas deal with emotional attitudes and feelings.

k. Probing too deep. It does little good if you encourage the employee to “tell all.” If, by over-sympathetic attention or excessive curiosity, the supervisor tricks the employee into saying too much about his or her feelings, the employee may leave with little likelihood of ever returning. The employee may feel guilty and ashamed at having exposed himself or herself.

l. Controlling the counseling session. If counseling is to lead to results that will change the employee’s behavior, then you must keep control of the situation. This does not mean that you should dominate the flow of information, but you may have to pull the employee back from conversational side trips, fruitless arguments, or unsolvable problems. Expressions like, “We were talking about...” or “What was it you said...?” or “How does this fit in with what you said earlier...?” will serve to bring the conversation back on path. Set forth specific subjects for the employee to discuss and explore.

m. Follow accepted do’s and don’ts. Table 4-1 provides some accepted do’s and don’ts that should be adhered to during counseling sessions.

4-6. Closing the counseling session

Bring the session to a satisfactory end, wind up loose ends, make final summary remarks, make a list of followup activities, and clarify important points.

4-7. Followup after the counseling session

This includes necessary postsession activities such as writing a summary letter or memo, documenting the session results, processing papers, making decisions or recommendations, and arranging for a followup meeting if appropriate. Ask yourself the following questions:

- a.* Did the employee appear motivated and encouraged?
- b.* Was a good rapport established?
- c.* Was employee's knowledge of opportunities and self increased?

If the counseling session was not productive, was it due to a lack of preparation, differences in personality, or problems in communication? If a conflicting situation arises, consider delegating your counseling role to another individual.

Table 4-1
Do's and don'ts of counseling your employees

Do	Don't
1. Collect and review information before the career counseling session.	Search for or attempt to review information during the meeting.
2. Give the employee notice of the meeting, specifying time and place.	Call the employee on a moment's notice and expect a productive meeting.
3. Tell the employee how long the meeting will last.	Abruptly end the meeting without notice.
4. Give the employee a statement about the purpose of the meeting.	Leave the employee wondering what he or she may have done wrong.
5. Prepare questions and subjects for the meeting that should be covered.	Wait until the employee arrives to decide what should be accomplished.
6. Greet the employee in a friendly, unhurried manner.	Give the impression that there is no time for the employee, or that there is a big rush to get this over with.
7. Have a chair ready and in a position where the employee faces the supervisor without obstacles.	Have the employee sit on the opposite side of your desk with piles of paper between the two of you.
8. Have the secretary hold all calls and keep visitors from interrupting the meeting.	Let your attention wander to other people or matters in the office.
9. Help the employee tell his or her story by being accepting, by being interested, and by letting the employee talk.	Prod the employee along, get the details wanted, and then talk about your own experiences.
10. Give the employee a chance to pause and reflect.	Talk rapidly, filling in all voids.
11. Ask questions that are open-ended and that call for discussion or explanation.	Ask questions that are answered with a quick "yes" or "no."
12. Close the meeting tactfully, set a time for a followup if needed, and thank the employee.	Hurry the employee out, showing lack of interest and giving a vague promise of a followup

Chapter 5 CAREER GOALS DEVELOPMENT Stage I - Career Goal Identification

5-1. Goal Exploration

During career goal exploration, there are six areas that need to be explored by the employee, with your assistance.

a. Where am I?

(1) What are the various roles and responsibilities that I have had in my career?

(2) What are the things I do best?

(3) What technical strengths do I have in my current position?

(4) What aspects of my present position do I like most or least?

(5) Based on my present capabilities and desires, do I want to further my career?

b. What career do I want?

(1) What is the nature of the assignment that I would like to have in the future? (This refers to general responsibilities, not job titles.)

(2) What sort of responsibilities and challenges do I expect from a new position?

(3) Do I have the time and energy to pursue such a career path?

(4) How hard am I willing to work physically and mentally?

c. Why do I want this career?

(1) What in my past career experiences would I like to take with me into the future, or leave behind me?

(2) What things about my proposed career make me feel alive?

d. What knowledges, skills, and experiences do I need?

(1) What do I need to learn?

(2) What should I stop doing now, and what should I start doing?

e. What job assignments, training programs, educational courses, and self-study resources offer the needed knowledges, skills, or experiences?

(1) Is the organization flexible enough so that I may have various job assignments?

(2) Will the organization support me in my career path development?

(3) What developmental assignments are most important to achieve the objectives of my career plan?

(4) What internal and external resources are available to aid my growth?

f. How long will I need to remain in each assignment?

(1) Am I patient enough to take time to learn the position?

(2) Have I extracted all that I possibly can from this position in order for it to be a profitable stepping stone in my career development?

(3) Am I realistic in the timeframes that I have identified to develop my career?

During goal exploration, supervisors should assist employees in -

a. Analyzing past work experiences and discussing what factors contributed to job satisfaction and success (and also dissatisfaction and failure).

b. Developing a complete and realistic appraisal of all past work experiences and then relating them to future job goals.

c. Obtaining comprehensive information about jobs, career ladders, and training programs.

d. Exploring alternatives and setting tentative goals.

e. Identifying contradictions and information gaps.

f. Following leads.

5-2. Goal setting

Once the employee, with the supervisor's help, has organized data about himself or herself, the job environment, and his or her options, a career decision can be made and a career goal established. Goals should be realistic in terms of what is known about the individual and organization. Goals should be--

a. *Specific.* Specificity in goal statements means explicitly stating as many details about the desired position as possible. One should identify job title, category, grade level, functional or job content area, if the position is line or staff, and location. You may find it helpful to refer employees to the SKAP, ACCES, or other forms

that identify job categories within the career program as well as pertinent knowledges and skills (for example, career program regulations). Help employees become as specific as possible about their goals.

b. *Timeframes.* Target dates strengthen the goal statement by providing milestones against which to compare progress. It helps to keep career goals within a 3-year range whenever possible, since shorter time parameters are more motivating. Timeframes sometimes have to be extended because it is not always possible to complete a goal on time. Warn the employee about setting unrealistic timeframes. Too long a timeframe will remove any sense of urgency about the goal, and too short a timeframe will make the goal unattainable and may become an excuse for failure. The strength of timeframing lies in forcing the employee to consider contingency plans if the goal is not achieved within a specified timeframe. Provide the employee with checkpoints along the way as a means of measuring progress. Information required by the employee to set timeframes includes career-path data, turnover rates for typical positions, entry requirements for typical positions, formal or informal information about organizational "norms" for progressing, and information about the organization's projected future direction. The employee will probably need performance appraisal information and feedback about his or her potential for such movement at some point in the process as well.

c. *Measurable.* Desired outcomes should consist of specific verifiable activities or events that, when completed, should logically lead to accomplishment of the career goal. Measurement also involves assessing progress at a series of checkpoints along the way.

d. *Visible.* Visibility is one key to gaining the power to get things done in organizations. Visibility of activities, successes, and goals can facilitate the forming of alliances with people at all organizational levels. This, in turn, can contribute to promotability within an organization.

e. *Relevant.* The final challenge to the goal statement represents a composite of all of the knowledge gained in the preceding steps. If the employee is going to reach a desired goal, it must be one-

(1) For which the employee clearly has the relevant knowledge, experience, and other requirements to attain the goal (or can reasonably obtain them).

(2) That is relevant to the needs and desires of the individual so there is motivation to attain it.

(3) That represents an organizational need and a demand for the service that the employee wishes to supply.

5-3. Summary

Your role is to provide as much information about current and future needs as is practical to assist the employee in analyzing the relevance of desired goals. Furthermore, as the employee's supervisor, you must challenge the employee to use this information to show relevance. When goal setting is completed, the employee will have selectively chosen goals that are appropriate and meaningful, both for the employee and for the organization.

Chapter 6 Stage II--Development Planning

6-1. Career development planning

A well-conceived career plan will be sufficiently flexible to accommodate changing opportunities for development and multiple paths (where several exist) of arriving at the employee's goals. Career counseling that assists the employee in setting realistic career goals should lead to planned goal-related training and developmental activities that can be set forth in the IDP and reasonably accomplished during the next year.

The career development planning process involves the five following elements:

a. *Direction.* This involves the career goals. Goal setting has two components. First, what the employee wants to do, which consists

of knowledges, interests, and needs; and second, what the organization needs to have done. Goal setting must attend to both components through self-assessment and organization assessment. Self-assessment consists of thinking about "Who am I?" which refers to the employee's roles, beliefs, relationships, personal attributes, personal limitations, and job identification. Organization assessment refers to boundaries set by the organization that influence the employee's perception of available alternatives and the extent to which personal aspirations are realistic and timely. Boundaries include the hierarchy or levels in an organization, the function of the employee's department or division, the degree to which an employee is identified with a particular group or speciality, the supervisor's technical or interpersonal skills, and the managerial and economic climate within the organization. Any combination of these factors and the norms of the organization can lead an employee to feel 'boxed in' or frustrated; so, employees must weigh the impact of organization goals, values, and orientation on their plans. Although supervisors play a part in both types of assessment, the organization assessment area is where you are used most as a resource for information.

b. Career time. This relates to distance and speed factors, that is, how far the employee wants to go on the career path and how fast the employee expects to get there. Most of us think of career progress in terms of time, the distance we travel (typically upward), and the speed of advancement. The employee gauges progress as being "on schedule," "ahead of schedule," or "behind schedule." You can help by providing feedback as to whether or not these are reasonable timeframes within your organization.

c. Transitions. Transitions relate to the changes expected (in knowledge, skill, and attitude) en route to a career goal. Employees frequently tend to focus immediately on advancement and not on the changes necessary to prepare them to play a more responsible role within the organization. At this point in the career planning process, the notion of investment is introduced. It refers to what price the employee is prepared to pay in order to change positions (taking on more responsibility, more energy output, more time, and perhaps more money spent to prepare for a new position). It also concerns the degree of certainty that the employee will be happy and satisfied in the new assignment. There are people who ultimately learn to perform well in their new positions but, if they are absolutely honest with themselves, they do not enjoy the new role. Transitions involve the most thinking and planning. Setting goals and a timetable only initiates the career-planning process. The transition factors must be considered and analyzed in detail. Because it is very difficult to be absolutely objective about one's self, an employee needs both information and feedback from others (supervisors, friends, and family) in order to calculate the transitions involved.

d. Career-planning options. Many employees are unaware of all the options available to them for career development or reaching career goals. Below are career options.

(1) *Advancement.* Moving to the next higher position, which is the option most often chosen.

(2) *Lateral Moving* across functions to develop new skills, or as a way to reach a career goal when one career path dead-ends.

(3) *Change to lower grade (CLG).* This can also be used for development or career goal attainment. An employee who takes a CLG for developmental purposes is entitled to pay retention only if the training program is a formal Governmentwide training program such as upward mobility, apprenticeship, or career internship. A CLG for any other form of training may result in a loss of pay. This must be made clear to employees who are considering such a move. A CLG can also be used to achieve a career goal of moving from a dead-end position to one where there are more opportunities for advancement or for entering a new job field. This also may involve a loss in pay. You should check with the CPO because of variations in local pay rules.

(4) *Mobility.* This is often a key factor in career planning. Frequently, a geographical move is necessary for an employee to obtain developmental experiences essential to achieving career goals or to advance to a desired grade. You should encourage employees to be

mobile for developing skills at a variety of levels (that is, HQDA, MACOM, or installation).

(5) *Job enrichment.* For various reasons, an employee may not desire advancement (person likes present position or location). Career goals for such an employee may be working towards great responsibility and variety in the present position, which requires use of higher level knowledge and abilities. Accomplishment Of these goals would provide high motivation and personal growth. Where organizational structure allows, management can facilitate such job enrichment by restructuring jobs or shifting duties. (Note: In some cases, job enrichment may require changes in a job description.)

(6) *Exploratory research.* Actively investigating other options or taking temporary special projects or assignments to explore a new area are forms of exploratory research. This could also include long-term training, developmental assignments, or task force assignments or details.

(7) *Relocation out of the system.* This refers to leaving the organization for career development or career goal attainment. Relocation can occur if the employee's goals are in conflict with the goals of the organization or its development plans. Relocation is usually the option of last resort.

e. Projected outcome. This relates to the probabilities that one's investments and sacrifices for career progress will pay off. When considering predicted or actual outcomes, the employee must calculate the risks attached to various actions in the career plan. Risk is the potential loss of something the person values (comfortable habits or confidence level) as well as the possibility of failure. When attempting to predict outcome, the employee is well-advised to seek out others for feedback and an understanding of the organization. For example, what the organization needs, and how it operates. Outcomes of a career plan can vary in terms of the investments and risks involved. When there are high risks and high investments associated with a given career plan, the employee must be well-prepared to play a high-stakes game. The low risk or low investment career plan offers easy victories, but little, if anything, may be gained. Career goals predicted to involve medium risk and medium investment usually represent better goals to select. Once you and the employee have completed the career goal identification and career development planning stages, the IDP can be completed. It is the culmination of the two-stage process.

6-2. Preparing for the IDP

Preparation for the IDP should include an outline of broad developmental objectives based on review of performance standards, past performance ratings, and career counseling sessions. Information should be collected on the availability of developmental experiences to meet these objectives.

Also, be prepared to assist and advise employees who desire to start self-development. Such self-development might include taking courses not directly related to the present or immediately anticipated work assignment, but which should improve the employee's ability to perform in future assignments.

Development plans should be structured to meet the needs of the employees. For example, employees who are relatively new to an organization may need orientation-type experiences that will help them acquire knowledges and skills rapidly. This is especially true for employees new to the Army and the Federal Government. You should compare the knowledges and skills the employee brings to the job with those that are or may be required in current or future jobs. Employees who have identified a competitive job as their career objective will need a different development plan than employees who have reached their career objective. (Employees who have reached their objectives are primarily interested in keeping up with developments in their profession.) Employees who are taking on new assignments as a result of program changes, those affected by technological advances, those who are participating in a formal training program (such as career interns or upward mobility interns), and those who may need to improve certain aspects of their current job performance will require plans with different objectives. These

objectives require different developmental experiences. As a supervisor, you must realize these differences and be prepared to deal with them in a flexible and creative manner. Two factors that should be carefully considered are the background of the employee and the nature of the position occupied.

You should emphasize to the employee the importance of preparing for the IDP interview by thinking through and clarifying career goals, plans, and developmental needs, both short range and long range. It would be helpful if the employee also prepared a list of self-developmental activities that could be undertaken to fill in any self-perceived gaps in background, knowledges and skills, experiences, or education.

6-3. IDP planning interview

In the IDP interview, you and the employee must discuss the key areas of the job and pinpoint any significant future needs of the job. You and the employee should discuss which knowledges and skills need to be developed and then outline ways in which planned work experiences, education, or training can help meet those needs. After the IDP interview has been completed, the results (objectives and activities) should be scheduled and recorded on the IDP (section III of the performance appraisal form) and signed by both you and the employee. The IDP presents employee training and developmental experiences in a systematic and orderly fashion and ensures that the employee and supervisor are in agreement about what the employee's developmental activities will be for the specified period of the plan.

6-4. Implementation of the IDP

Once the IDP is signed by the supervisor, the reviewer, the approving official, and the employee, steps should be taken to accomplish the scheduled OJT and formal courses. This phase of the process will be easier if you and the employee have prepared a realistic plan. The plan should be reviewed and updated to allow for changes in course schedules or better opportunities that might arise for individual development.

The final step is to monitor progress toward completing the scheduled training and to evaluate results as a basis for developing the next plan. The employee's performance during OJT and formal coursework should be assessed to determine the extent to which training objectives have been achieved. Evaluation results can be used to determine the need for further training or to assess the effectiveness of the training completed.

In summary, the process of preparing and accomplishing the IDP should be an ongoing process of development with the joint participation of the supervisor and employee. By planning the development of employees, an organization can improve its efficiency and its motivation of employees. Since these plans indicate an ongoing process, there will be a need to review them. Whether quarterly, biannually, or annually, you should update and modify the plans to suit the changing needs of the organization and the employee. To help with the review and evaluation phase, you should tie the evaluation of the IDP into the existing performance appraisal system and document the employee's accomplishments. The latter is achieved in the performance appraisal process that is described in chapter 8.

Chapter 7 Coaching, Counseling, and Mentoring

7-1. Coaching

Coaching is the personal activity of the supervisor. It is a learning process involving a teacher-student relationship between the supervisor and the employee. Coaching involves creating opportunities for the job to help an individual overcome weaknesses and improve

knowledges and skills. Coaching requires monitoring the individual's performance, with the coach pointing out where and how the employee could improve performance. Coaching provides an opportunity to use knowledges and skills and may vary from being very systematic to being very unsystematic and informal.

A general guide in coaching, and very important point for all supervisors to keep in mind, is that people behave in ways they think will produce favorable consequences in their career. What the supervisor does in directing his or her people will have a very significant impact on what they are going to do and how well they are going to do it. Coaching is a learning experience, requiring a motivation to learn, a supportive environment within which to learn, clear communication, a mutual level of trust between employee and mentor, openness and honesty in communications, a feeling of mutual acceptance, a commitment on the part of the mentor to help, and a commitment on the part of the employee to grow.

7-2. Coaching versus counseling

Coaching and counseling are similar but not identical processes. In both, the supervisor guides and directs employees on an ad hoc basis. Both are done at every organizational level. Counseling, in general, involves the long-term development and realization of potential of an employee through the technique of advising. Counselors listen more and are more concerned with attitudes, feelings, and motivation than action. Coaching deals with present job performance and focuses on improving job knowledges and skills through the technique of training. Coaches are more concerned with behavior and actions.

Many terms are used interchangeably to describe the coaching process. However, the Woodlands Group (1980) made an important distinction between the developmental role of a mentor and a coach or a sponsor.

a. Sponsors function to help the career progression of subordinates by giving them visibility, actively seeking promotional opportunities for the subordinates, and advising them on obtaining desired assignments. Sponsors do not provide day-to-day coaching, training, or support. Sponsoring is more a type of counseling.

b. Coaches are senior leaders who assume the role of helping employees meet specific growth needs by providing challenging tasks, constant feedback, and counsel on how to improve performance.

c. Mentors function as both coach and sponsor but have a much greater impact on employees than either the coach or sponsor. Mentorship is characterized by much greater intensity, informality, and trust than either the coach or sponsor relationships. Mentoring is a term that is frequently used interchangeably with coaching. It refers to an experienced senior leader or manager who develops a younger, less experienced leader and provides career counseling and sponsorship to the employee. Supervisors may perform any or all of these roles when helping to develop employees. Therefore, in the following section, mentoring will be described to encompass coaching and sponsorship.

7-3. Mentoring

The role of mentors. Mentors clarify career goals and help develop a long-term strategy for career planning and advancement. This includes aiding in the development of short-term individual development plans. They share knowledge and provide instruction, through serving as a model, of technical as well as leadership and management skills. Mentors provide visibility for the employee by including the employee in activities that allow development of a frame of reference, values, and skills required at higher organizational levels.

Characteristics of mentors. Important characteristics for successful mentoring include the following: OPENNESS (empathy and willingness to share knowledge and understanding), WARMNESS (caring with ability and willingness to counsel), knowledge of the

organization and people in it, rank or position of the mentor, respect from peers in the organization, and knowledge and use of power.

7-4. Phases of the mentoring relationship

a. Initiation is the time during which the mentor recognizes the employee as a person with potential for development, and the employee recognizes the ability of the mentor to aid in his or her development.

b. Cultivation is the time during which the interpersonal bond between the mentor and employee develops, and the mentor plays an increasingly greater role in the personal and professional development of the employee, including development of organizational values.

c. Separation is the phase during which the roles of the employee and mentor change radically, and the employee develops to the point that he or she no longer needs or desires a mentor. Premature separation may occur because of job rotation or the relocation of one of the individuals in the mentor relationship. Such separation may result in frustration or loss of confidence on the part of the employee.

d. Redefinition is the final phase where the mentor and employee redefine their relationship and assume new roles.

7-5. The process of mentoring

a. Discuss mentoring objectives with the employee. One of the requirements for effective mentoring is a willingness of both the mentor and the employee to participate constructively. Supervisors must establish a climate of confidence in which discussion of strengths and weaknesses is accepted. A climate of trust, warmth, openness, and support is needed to facilitate growth. Such an atmosphere should foster commitment on the part of the employee, facilitate development, and build good interpersonal relationships. It is imperative that the employee's perception of his or her needs be realistic and that improvement is required and possible. An understanding must be reached between the mentor and employee as to the developmental objectives and how best to achieve them. If resources will be required over and above your authority, it is important to talk this matter over with the person who has the authority to approve those resources.

b. Prepare individualized mentoring plan. Although mentoring should be a day-to-day process--a method of managing--it is still beneficial to establish a plan on paper that will provide a basis for direction and development for each of the employee's supervisors. The sum of these plans will equal the development effort for your organizational element.

c. Provide for followup procedure. The followup procedure is a periodic evaluation of the mentoring and development effort. This step is an important one in that the mentor and the employee can evaluate the effectiveness of completed portions of the IDP. The evaluation of information can change the plan or redirect developmental efforts. The followup procedure provides information to the employee regarding where he or she stands and is a guide for the mentor to use in suggesting new learning objectives.

d. Implement plan. Implementation can occur through training and experience on the job. Mentoring provides guidance and monitoring of these experiences to ensure that the correct skills are learned and followed. The employee should have continuous access to the mentor's guidance, knowledge, judgment, and experience. How much guidance is needed is based on the degree of knowledge and skill required in the position as well as with the level of ability of the employee. Explicit direction is not necessarily required. What is required are suggestions and questions that will clarify the problem and help formulate or evaluate alternatives and perhaps furnish additional feedback information.

When mentoring employees, the following are some important guidelines to keep in mind: reach an agreement with the employee on what is expected of him or her (goals); provide an atmosphere of confidence; make sure that the employee understands the need for personal growth, including the need for change; determine areas in

which change may be necessary, including change in the employee's own performance and work situation or job; remember that a good motivational environment will help produce an atmosphere conducive to learning; let the employee periodically know how he or she is doing (give feedback); have a personal commitment to helping employees grow; make mentoring an ongoing consistent effort and a primary responsibility; try to continue to improve your own mentoring ability and help employees with their mentoring practices; and keep abreast of the ways that are available in the system for helping people develop.

Mentoring is a worthwhile but very difficult effort. It requires qualities and even personal feelings that are not possessed by all supervisors. It is pertinent, therefore, to point out some of the problems that can block effective mentoring. By anticipating such problems, the mentor will have a greater likelihood of keeping them from diluting mentoring effectiveness. A mentor should not do the following: establish vague performance standards because they are difficult for employees to interpret, perform, and measure; do the employee's job; neglect the employee; make evaluations of employees based on personality traits (yours or the employee's); dwell on employee mistakes; try to change the employee's personality; perpetuate outmoded ideas; solve employee problems through reliance on rules and procedures; rely on the CPO to plan the development of employees; and give the best performers increasingly tougher assignments without rewarding them in some manner. If carefully planned, mentoring can be very rewarding for all concerned, and it can be combined with other developmental assignments. Additional information on the mentoring process is referenced in appendix B.

Status of previous plan. Review whether or not previous training objectives, both formal and OJT, have been met. If some objectives were not met, you should determine why. Did priorities change during the year? Was there enough money for the training? Were appropriate spaces for training requested? Were the training objectives too ambitious to be realistically attained? If the unmet training objectives are important, you must take steps to ensure that the training will be accomplished. If the objectives lack priority, analyze what training is really required.

Developmental assignments. You will need to specify what type of OJT activities can be arranged to enable the employee to develop job-related knowledges and skills. This will require flexible thinking about the functions of the jobs you supervise. Developmental assignments should be compatible with three objectives. First, meeting the organization's objectives; second, meeting the employee's developmental objectives; and third, requiring duties within the level of responsibility described in the position description. Think creatively and juggle some tasks and assignments, and some valuable opportunities can be created for your employees and organization.

On-the-job training. OJT can provide practical development, can be tailored to the employee's learning style, and can be efficient in the use of time and money. OJT does not mean placing an employee in a position of learning the work by trial and error. Rather, it is a series of planned learning experiences that occur within the framework of the work situation. There is nothing random or haphazard about activities that are established to help the employee improve current skill levels or to develop new knowledges. The development of meaningful work assignments for learning purposes takes planning and thought by you and your employee. You may be surprised at how many unexpected ways there are to give training right in the organization.

One form of OJT is *job rotation*. The objectives are to give the employee knowledge about the operation of different parts of the organization. Definite training goals should be set for each job assignment. The job assignments must be different so that the employee learns more from job rotation than remaining in his or her original job assignment.

Other examples of OJT are serving on cross-organizational teams or task forces, representing the organization on committees or at meetings, attending meetings with senior people on the staff, pairing the employee with more experienced people on activities that will foster development, and giving special projects or special reading assignments. As a supervisor, you should be creative in finding ways to accomplish the work of your organization and, at the same time, improve the talents of your staff. This does not mean indiscriminate increases in workload, although additional responsibilities may sometimes be involved. (Note: Be aware of the provisions of the Merit Promotion Program and ensure that all interested employees are considered for special assignments to improve career opportunities.)

Formal training. Finally, developmental goals can be achieved through formal classroom training. Formal Army, DOD, interagency, intergovernmental, and non-Government training may be listed on the IDP. Consider the money and staff-time required to implement this portion of the plan, and do not make this an endless "wish list" of courses. Make certain the course objectives correspond to the objectives you and the employee have established. Start planning early, if the training source requires space allocations in advance. Be specific in the description of the ways you plan to develop the employee and try to be practical by including only learning experiences that can be arranged.

Organizations engage in training activities for three principal reasons:

- a. To accommodate turnover. As personnel change, others must be trained to continue the performance of necessary duties.
- b. To prepare employees to perform new duties caused by changes in organizational objectives and structure, laws, policies, and technology.
- c. To improve the ability of employees to perform present or future duties more effectively. Much of the Army's training effort is focused on improving present or future competence through short-term training.

When deciding upon formal training, look at a variety of resources such as education centers and local nonprofit organizations. The EDS in the CPO can help identify many of the available formal courses. Review programs, both credit and noncredit, at local colleges and universities and consider the offerings of other Government agencies, which in many cases may cost little or nothing. Some private firms also give excellent training.

In summary, the training opportunities for achieving developmental goals of Army employees are varied. They range from OJT sessions to full academic year programs at DOD, Army and civilian schools, universities, and colleges. They include attendance at formal classes conducted at the local employing activity; courses, seminars, and conferences presented by the OPM Executive Institute; resident and correspondence courses covering a wide range of technical and supervisory subjects conducted by DOD schools; educational conferences, seminars, and forums for Government executives provided by the Brookings Institution; fellowship assignments to functional organizations within DOD; academic fellowships to institutions of higher learning; research and study fellowships; and developmental assignments to State and local governments and to private industry.

The Army pays all the expenses, including salary, when an employee is assigned by the Army to attend training. Sometimes the Army will pay part of the tuition costs for an employee enrolling in a training or educational activity during off-duty hours that will further job-related development.

Self-development activities. You should record educational experiences initiated by the employee for the purpose of raising general

education level or to develop specific skills. These activities are usually scheduled on the employee's own time. You should also encourage the employee to attain self-development goals through activities outside of the job. This is particularly important for goals or objectives that do not match those of the organization. Self-development goals include personal skills improvement, degree completion, administrative experience, and job-related information update. There are other methods by which outside activities can raise employee skills or provide valuable experience. The participation in organizations, both local and national, is one method that would provide supervisory or administrative experience. Another is developing a planned reading improvement program to help broaden the knowledge of one's current job and related fields. Selective reading of books, articles, and other publications is useful and inexpensive. Supervisors can aid employees by preparing a list of pertinent reading material. Also, correspondence courses and adult education classes can provide qualifications or skills improvement. (Note: Courses taken in order to become qualified for a particular position should be checked by you or the CPO first to be sure they are the necessary courses).

In cases where the employee's goals and the organization's goals are widely divergent, training and developmental activities not related to the performance of official duties, either now or in the future, will have to be gained at the employee's own expense and time. However, you may wish to suggest self-developmental activities or direct the employee to other resources for assistance.

Chapter 8 Performance Appraisal Process: A Part of Career Development

8-1. Performance Appraisal and Career Development

An organization can undertake the performance appraisal and career development as two distinct entities where immediate responsibility is held by supervisors who make no connection between the information and feedback processes taking place. However, if a link is forged in the minds of all those involved in the two processes, the information and developmental aspects of career development become invaluable to the feedback aspect of performance appraisal and vice versa. Favorable consequences of linking performance appraisal with career development are as follows:

a. *A realistic view of current performance.* Employees must be aware of their current performance (abilities and deficiencies) and must set their goals accordingly. The performance appraisal allows employees to more accurately answer the question "Who am I?" and to more realistically plot the route to a career goal.

b. *Planning as an ingredient of performing.* The employees who are involved in the career development process have defined goals and the plans with which to achieve them. Planning and goal setting are the keys to an effective performance appraisal process. When the employees and the supervisor have a clear understanding of the employees' career plans, then the process for obtaining the goals will be smoother and more realistic.

c. *Motivation to improve.* The performance appraisal is a valuable benefit for employees who are motivated to improve and are receptive to the feedback that can guide them toward improvement. Employees who are participating in career development plans are more likely to be motivated to improve current performance as part of their continuing development when given future options and definite goals. See appendix A for some career development guidelines.

d. *Opportunities to assess progress.* As employees pursue their career development plans, a periodic "taking stock" becomes an important ongoing activity. The performance appraisal provides the supervisor and employees with an opportunity to review the employees' development and to better assess progress toward career goals. The employees can gain insight on their progress from supervisors who are in a position to note changes and accomplishment.

This feedback allows employees and supervisors to work from an increased information base about developmental needs and achievements.

e. Increased connections between jobs and people. When employee career development profiles and plans are clearly in mind, the performance appraisals are more likely to consider the fit between individuals and jobs.

f. Appraisals as learning tools. The career development process gives employees occasion to re-examine and learn from performance appraisals. The employees can use the career development process as part of the data contributing to their initial self-assessment and later progress evaluation.

8-2. Preparing for the appraisal interview

The performance appraisal interview typically serves the following two functions:

a. Evaluation and discussion--a system for providing job performance information to the employee and organization for administrative decisions.

b. Counseling and development--the supervisor provides counsel and motivation with the objective of stimulating individual growth.

Performance appraisal interviews provide input for other processes, including the following: making administrative decisions concerning salary, promotions, retention, and placement; identifying people with the potential to fulfill organizational needs through improved organizational development; directing supervisors to observe their employees more closely and to do a better coaching job; motivating employees by providing feedback on how they are doing; and guiding individualized training and development requirements.

The following are some ways for a supervisor to lay the groundwork that is important for a good appraisal:

a. Hold a group discussion with the employees to be evaluated to determine the broad criteria for their appraisals.

b. Talk things out in advance to provide a better perspective on employee performance.

c. List key criteria that can be evaluated.

d. Is promptness a serious criterion for judgment?

e. Is delivery of a particular contract, paper, and so on, of overriding importance?

It is important for you, the supervisor, to state your opinions during this meeting. However, the idea is to permit your opinions to be influenced, not to be abandoned. This ground rule should be stated clearly before, during, and after the group discussion. When asking for the opinions of employees, the supervisor steps aside from an authoritarian role; but, if employees misunderstand and view the proceeding as a democratic process in which they are allowed to vote, they will be disappointed and resentful when it does not work out that way. Discussion of appraisal criteria should be held any time the supervisor or employees believe the criteria are becoming unclear. Resolve any differences that may develop between the language of the formal written appraisal and the language of the informal interview. Explain to the employee any differences between your review in the interview and how you expressed your views in the written formal appraisal. The law has made it possible for Government employees to see their personnel files. Your credibility will suffer seriously if an employee discovers, on his or her own, apparent discrepancies between what you said and what you wrote.

If you are angry with an employee, talk about it before, not during, the appraisal interview. The employee deserves to have a relatively cool head on the other side of the desk during performance evaluation. Delaying the angry conversation until after the appraisal does not work either. The employee will spend the entire appraisal waiting for the dam to break instead of listening.

Consider your position or attitude in judging other people. When appraising employees, do not let your perceptions, ideals, and desires muddle your view of employees' strengths and weaknesses. Human frailty aside, you are a supervisor and your employees' strengths and weaknesses are what you call them and will be entered in their personnel files. What you think will strongly influence their chances for future promotions. A willingness to converse with others, remaining open to positive influence, and efforts to improve self-understanding will improve one's ability to judge. Because your judgment is crucial to the well-being of others and the organization, you may want to consider a course in human relations.

If you have given an employee a number of negative appraisals, prepare to take action. If an employee is really that deficient, or if your dislike is that strong, it is time for a change (transfer, demotion, or firing). Repeated attempts to remodel the reluctant employee are simply punitive. Also, the employee may get a better break in a different department or even a different organization because, after time, your judgment becomes fixed. Another supervisor without your history with the employee may evaluate him or her higher. The employee may also be beyond his or her level of competence. This can be a hard fact to face, but confronting it is better than picking away at it year after year.

8-3. Seven areas to cover in the appraisal process

Orientation meeting. Set first-year objectives. Orientation meetings must be held at the beginning of employment, for either new or transfer employees. The employee should be shown the appraisal form and the performance standards with an explanation of how the two will be used. What sometimes happens is that a first-year employee is appraised at the end of the year without knowing what the performance standards were.

Incident files. Document ongoing performance. Some form of frequent documentation must be kept--notebook, folders, calendars, or incident sheets. Both positive and negative critical incidents should be noted. Keeping incident files makes the job of yearly appraisal easier since the result is an account of the entire year. This supplies the supporting documentation for the appraisal form. Without supporting facts, how does the employee know that you are not just making things up as you go along? Be specific in documenting complaints and compliments. For example, a complaint that, "You do not finish your work," should be accompanied by times and dates. Similarly, compliments should be amplified by stating who said what. It is the employee's responsibility to also keep his or her own incident file so a meaningful discussion can be held with the supervisor.

Counseling sessions. Recognize that it is the supervisor's responsibility to provide constant feedback. Continuous appraisal is a simple pattern of behavior that distinguishes the most effective supervisor. This practice alone does more to motivate, encourage, build, train, reinforce, and modify behavior than any other single action or series of actions that a supervisor might take. Keep up to date. Comment on the employee's performance in a timely manner. Some supervisors give a year's worth of feedback in one dose. It should not be delayed until the appraisal interview. Counseling sessions should be held frequently. Minimally, counseling should be offered at least once a year or upon request. The employee must be praised for good performance and counseled for failing performance. The employee must be given the time to improve before being penalized at the formal appraisal. It is also the employee's responsibility to ask for counseling sessions and feedback when needed. It is the fault of both the employee and the supervisor when the employee says, 'My boss never tells me anything.' Performance review or counseling should be a periodic summarization and review of proceeding performance appraisals. There should be no surprises, and the employee should be able to do as accurate a job of reviewing his or her performance as the supervisor. If this is not the case,

then the supervisor has not done an adequate job of providing Counseling along the way.

Self-appraisal. Give the employee an opportunity for self-evaluation. The employee should be given the opportunity to evaluate his or her own performance so that a more meaningful discussion can take place during the appraisal session. Self-appraisal is one way of increasing employee involvement and participation. Both the employee and supervisor can bring their appraisals and jointly fill out a blank form as agreement is reached during the performance appraisal. If objectives and standards have been jointly established and understood, there should be minimal controversy during the appraisal discussion.

Job description. The job description is the cornerstone of the performance appraisal. It is imperative that the employee and the supervisor both understand the responsibilities of the job. Without such an understanding, valid performance standards cannot be written. The job description should list the duties and the expected outputs.

Objectives. Develop clear identifiable objectives for the job. Objectives describe the what of performance. Objectives can be written to cover many different situations, responsibilities, knowledges, human interactions, job factors or competencies, behaviors, one-time results, and continuous results. The standards stated in the objectives are a point of measurement, a point to begin discussion about success or failure. It is possible for an employee not to meet the standard yet still be highly rated. For example, instead of testing five computer systems, the employee only tested one but in doing so made a breakthrough. The key to remember is that the employee and supervisor jointly develop objectives and mutually understand the standards of accomplishment.

Job factors or competencies. Relate what must be accomplished to how it will be accomplished. Job factors or characteristics (such as leadership, initiative, and decisionmaking) mean nothing by themselves. However, when supported by job-related facts, they become very meaningful. Job factors or competencies describe the how of performance. Just meeting an objective is not sufficient; it must be done in an appropriate manner, involving proper authority, leadership, and quality. The supporting documentation for the job factors must relate to how well the objectives were accomplished.

8-4. The performance appraisal interview

Schedule the performance appraisal in advance and be prepared. Here are some suggestions to follow:

a. Prepare an agenda. Set an agenda and develop a performance review strategy. The strategy should include the results that the supervisor wishes to achieve, documentation of the employee's deficiencies or accomplishments, suggestions to overcome problem areas if there are deficiencies, preparation of a topic outline, and a list of anticipated questions with responses.

b. Arrange for a quiet place that encourages two-way communication. An atmosphere of teamwork and mutual respect should be established. Holding the interview in the supervisor's office may suit the supervisor, but not necessarily the employee. Interviewing on neutral ground, such as a mall also take steps to avoid interruptions from visitors and telephones and to provide sufficient time for the interview. These actions tend to reinforce the session's importance and ensure that neither party feels rushed.

Begin with a statement of purpose. The supervisor should begin by clarifying the purpose of the interview. For example, the objectives may be limited to evaluation or development, depending on what the supervisor wants to accomplish. The employee should know this in order to avoid having false expectations and to prepare properly. Regardless of the purpose, the supervisor should maintain control of the session.

c. Encourage the employee to participate. The more the employee participates, the more satisfied he or she is likely to be with

the interview and the supervisor. Higher participation generally leads to a greater commitment to carry out performance improvement plans. The interview is more effective when the employee is a full working partner in the process and does the majority of the talking. Effective interviews are characterized by extensive listening on the superior's part, not extensive advice giving. Although participation is generally effective, other factors seem to mediate participation. These factors include the following: the degree of threat to the employee, the supervisor's previous relationship with the employee, the relative knowledge of both participants concerning interview issues, and the employee's need for independence.

One way to encourage participation is to ask the employee in advance to appraise his or her own performance verbally. This may put the person at ease and ensure two-way communication. This will help avoid the tendency of supervisors to do too much talking and may also reveal additional information not contained in the employee's written self-appraisal. Encourage employees to talk by relying on techniques used by counselors. For example, silence can be used to get the employee to "open up" and can be supplemented with encouraging nonverbal signs such as eye contact, smiles, and nods. Other means of encouraging the employee to participate are to use active listening, show interest, ask probing questions, minimize criticism, avoid judgmental responses, be honest and patient, summarize the employee's statements, and recognize the employee's feelings.

d. Discuss total performance. If the interview deals with evaluation, total performance should be discussed. Interviews often focus on unsatisfactory performance. This casts the interview in a negative light and leads to defensive behavior. Destroying an employee's self-respect is not necessary. Do what you honestly can to improve it. Tell an employee about his or her good points. Emphasizing first on the positive aspects of the employee's performance is unlikely to make the employee defensive. It is important for them to hear about their valuable sides, that they do offer something of value to you and the organization. Examining performance areas in which both agree also reduces the potential for defensiveness. Feedback should focus on the employee's behavior and be as nonevaluative as possible. Many supervisors lack the communication skills necessary to get the essential message of an appraisal to the employee without causing bigger problems in the process.

The biggest problem for supervisors is that employees react to the appraisal on a personal level, not on a professional one. The following suggestions may be helpful:

(1) Use descriptive not evaluative statements. Accusations of blame elicit defensive behavior and threatens self-esteem. By using nonevaluative comments that simply state that a problem exists, both the supervisor and employee can jointly discuss the solutions.

(2) Negative approaches include blaming, lecturing, advice giving, paternalism, and domination of the interview. For example, an evaluative statement would be: "The loss of money was your fault. You ignored the department's policies." A better nonevaluative, descriptive comment would be: "This loss appears to involve some differences in interpreting the department's policies."

(3) Use a problem-orientation stance where problems are jointly worked through by the supervisor and the employee. Such an orientation increases an employee's sense of control over the problem and fosters a more open climate for communication. The use of controlling comments causes the employee to feel dominated and will result in defensive actions. For example, a controlling comment such as, "I've decided what you must do to reduce errors," can be replaced with the problem-oriented statement: "Do you have any ideas on how we might reduce errors?"

(4) Show empathy in order to foster an understanding attitude and encourage the employee's cooperation. Sometimes neutral phrases can imply disinterest and cause the employee to feel alienated. For example, this is a neutral phrase: "Too bad. That's a real shame." An emphatic statement would be: "Yes, I can identify with what you are feeling. I had a similar experience when I was working in that office."

(5) Encourage equality and sharing of information to gain the

employee's input in solving performance problems. A superior attitude on the part of the supervisor implies that the employee's ideas are unworthy. For example, you can substitute the superiority in this statement, "Listen, I've worked with this kind of problem for 8 years, and I know what will work," with one of equality: "I'd like to share with you an accounting idea that worked before so you can determine if it might work now."

(6) Mutually analyze and investigate solutions. A supervisor who uses a stance of certainty cuts off new ideas and creativity. For example, a statement of certainty would be: "I've thought through these suggestions, and I don't intend to waste time arguing." A better approach is provisionalism: "I've been thinking through these accounting suggestions. Can you think of anything that I might have left out?"

(7) Identify the causes for problems before jumping to conclusions. If this is not done, a supervisor may suggest a remedy that deals only with the apparent problem and not the real problem: For example, instead of saying, "So what are you going to do about this accounting problem?" the supervisor can say: "Let's discuss some possible causes for the errors." The supervisor and employee should consider several causes since some may tend to be superficial alibis, or the problem may be external to the employee. Specific factual details should be used in order to get to the core of the problem.

If these suggestions are practiced, performance problems can be confronted in a realistic, nonthreatening way. Supervisors should have skills that allow them to deal with negative feedback in a constructive manner. A learning environment is created, and communication is fostered throughout the year on an ongoing basis.

Summarize the interview and provide documentation. This step concludes the evaluation stage of the performance appraisal interview. The supervisor should ask the employee to summarize the key aspects of the session to ensure understanding. Any existing differences between the supervisor and the employee should be clarified and resolved. Identification of opportunities for growth and improvement serves as data for the second stage of the interview. Directly after the meeting, the major conclusions of the session are recorded for administrative purposes. The performance appraisal form has to be completed, signed, and filed. It is best to complete the form after the meeting, while information is still fresh in your mind and required signatures are easy to obtain. Make sure all supportive appraisal materials (documentation) are appropriate and relevant. All supportive documentation on the appraisal form must be consistent, job-related, factual, and behavioral. It cannot be subjective opinion based on hearsay, insufficient feedback, or evaluative statements concerning personality characteristics.

Use the performance appraisal for development. In the development stage, the supervisor's role shifts from being an evaluator to a counselor. The employee and the supervisor review the needs of the employee and investigate gaps that exist in the employee's performance. Short-range needs are knowledges or skills that the employee needs to acquire in order to meet the challenges of future career positions. The employee and the supervisor must decide what actions will be taken to help the employee. There are many developmental options such as training, coaching, readings, and special assignments. The emphasis is on setting mutual goals, including personal growth, developing an action plan for accomplishing these goals, and formulating appropriate followup procedures. The steps outlined in *the performance appraisal interview*, are related to the evaluation function of performance appraisal. The first four steps in this stage are essentially the same as in the evaluation stage above. The major difference is that instead of focusing on past performance, the supervisor and employee concentrate on future performance.

Set future performance goals. A good starting place is determining what the employee wants to achieve. This clarifies what differences exist, if any, between the employee's expectations and those of the supervisor and fosters commitment through mutual

participation. Performance planning is integral to the appraisal process because it provides expectations or goals for the future against which actual results are compared. Performance goals set during this session serve as a basis for next year's appraisal. **Make it clear that the responsibility for development lies with the employee, not with you.** The supervisor assists the employee in the proper career direction by acting as the facilitator and motivator. A change will not occur unless the employee desires a change. Make goals as specific as possible. Old goals may need to be reevaluated and new ones set between formal appraisal dates.

Formulate a development plan. At this point, areas where development may improve the employee's performance have been identified. Specific personal growth, and development goals should be set, such as gaining new skills and the methods for achieving them (such as attending a skills workshop). Quantifiable or behavioral goals should be used because it is important that the goals be verifiable.

Prepare a working document. Once goals and development plans are established, they serve as a working document and a basis for future appraisal. Both the supervisor and the employee should refer to the document periodically to see that they remain on target--supervisors are human and do forget developmental plans.

8-5. Summary

In summary, there are several characteristics of effective performance appraisal interviews. These characteristics are as follows:

a. Greater level of employee participation in the evaluation and development process. Participation typically elicits more positive results and employee satisfaction with the appraisal.

b. A helpful and constructive attitude on the part of the supervisor. The supervisor may show support by treating the employee as an equal, providing praise, and minimizing threats to the individual's self-esteem.

c. Increased goal setting by employees. Although limited by the employee's degree of job control and other factors, mutual goal setting is related to greater mutual understanding and perceived fairness, the employee's willingness and desire to improve, and subsequent performance.

d. Increased supervisor knowledge of the employee's job and performance. The supervisor needs adequate knowledge of the employee's job duties and behavior to present appraisal feedback credibly and effectively.

e. The performance appraisal process should help with the IDP review by identifying areas of employee accomplishment and new job skills that the employee may have acquired, indicating progress in reaching IDP goals that are dependent upon satisfactory job performance and identifying areas where performance needs improvement--this can indicate new activities to be added to the IDP. (Note: Noncompletion of IDP training should not be tied to an employee's performance appraisal, however, the converse is true if it leads to job performance improvement.)

Appendix A Career Development Guidelines

A-1.

Some important career development guidelines to keep in mind are as follows:

- a.* Make career development an ongoing process. It is a primary responsibility of supervisors to develop employees.
- b.* Work out an agreement with employees on what is expected of them.
- c.* Make sure your employees understand the need for personal growth, including the need for change.
- d.* Determine areas in which a change may be necessary, including the following:
 - (1) A change in an employee's performance.
 - (2) A change in the work situation (mobility) or job (job rotation).
- e.* Have a personal commitment to helping employees grow.
- f.* Keep your employees informed as to how they are doing in their current job. Feedback is essential in any kind of development.
- g.* Acquire the skills necessary to be a good career developer and be involved in career development of employees. Try to continue improving skills such as performance appraisal review, providing feedback, counseling, and job design.
- h.* Keep abreast of the ways that are available in the organization for helping people develop, such as job rotation, special assignments, coaching, and formal training.
- i.* Provide a supportive atmosphere.
- j.* Remember that a good motivational environment will help produce an atmosphere conducive to development.

Appendix B Bibliography

(1973) Anderson, Stephen D. Planning for career growth. *Personnel Journal*, 52:5, May 1973, 357-362.

(1985) Bagnel, Charles W.; Pence, Earl C.; Meriwether, Thomas N. Leaders as mentors. *Military Review*, 65:7, 1985, 4-20.

(1979) Braun, Alexander. Assessing supervisory training needs and evaluating effectiveness. *Training and Development Journal*, 33, 1979, 3-10.

(1970) Campbell, John P.; Dunnette, Marvin D.; Lawler, Edward E.; Welch, Karl E. *Managerial Behavior, Performance and Effectiveness*, New York: McGraw-Hill, 1970, 246-249.

(1978) DuBrin, Andrew J. *Fundamentals of Organizational Behavior: An Applied Perspective*, (2rid ed.), New York: Pergamon Press, 1978, 271-272.

(1979) Gambill, Ted R. Career counseling: too little, too late? *Training and Development Journal*, 33:2, 1979, 24-27.

(1977) Hammer, W. Clay and Schmidt, Frank R. *Contemporary Problems in Personnel*, Chicago, IL: St. Clair Press, 1977, 208-215.

(1980) Kaye, Beverly L. How you can help employees formulate their career goals. *Personnel Journal*, 59:5, May 1980, 368-372.

(1983) Kram, Kathy E. Phases of the mentor relationship, *Academy of Management Journal*, 26:4, 1983, 609, 614-620.

(1979) Morgan, Marilyn; Hall, Douglas; Martier, Alison. Career development strategies in industry - where are we and where should we be? *Personnel*, 56:2, 1979, 26-28. (24 Q.A.)

(1980) The Woodlands Group. Management development roles: coach, sponsor, and mentor. *Personnel Journal*, November 1980.

UNCLASSIFIED

PIN 064497-000

USAPA

ELECTRONIC PUBLISHING SYSTEM
TEXT FORMATTER ... Version 2.64

PIN: 064497-000

DATE: 03-24-00

TIME: 09:19:18

PAGES SET: 21

DATA FILE: mb.fil

DOCUMENT: DA PAM 690-43

DOC STATUS: NEW PUBLICATION