

4th Infantry Division & Fort Carson

Personnel – General



Yellow Book

Counseling Standard Operating Procedures

**Headquarters, 4th Infantry Division
Fort Carson, Colorado**

3 June 2024

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PREFACE

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MEMORANDUM FOR Leaders of the IVY Division and Mountain Post

SUBJECT: Counseling

1. The current standard for "knowing our Soldiers" is insufficient. This guide provides a path for IVY leaders to improve engagement and understanding of their formations, ultimately enhancing readiness. We can do better, and this is how.

2. Through this SOP, I expect leaders at echelon to understand the following:

a. Leaders will be **proactive and engage their Soldiers** through daily interactions and formal counseling. The spirit of a counseling program is not to produce counseling packets. Instead, counseling is intended to build trust – trust among peers, trust among subordinates, and trust among Leaders.

b. Leaders will ask **open-ended questions** to get subordinates to think deeper before responding, encouraging a viable conversation thus promoting two-way communication. Closed-ended questions are best utilized when being direct and to the point or when time is limited.

c. Battalion Commanders and Command Sergeants Major shall **carefully manage the transition** of Soldiers! Managing these transitions is imperative to mitigating risk.

d. Finally, leaders will complement the effort to reduce risk with a corresponding campaign to **inspire Soldiers to live the Army Values**. Leaders will identify and capture strengths and weaknesses of their Soldiers and assist them in achieving personal and professional goals, while simultaneously being an example worthy of emulation. They accomplish this through effective communication and counseling. Commanders will institute a counseling training program to ensure all leaders understand how to properly counsel subordinates.

STEADFAST AND LOYAL!

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Commanding

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COUNSELING

Purpose and Scope

1. The purpose of this guide is to standardize 4th Infantry Division (4ID) and Fort Carson, Colorado (FCCO) tenant organization counseling packets. Every Soldier deserves a regular and purposeful counseling. A Soldier should leave a counseling session with a clear understanding of accomplishments, improvement areas, and how the leader will assist them in achieving goals and meeting expectations. Leaders should leave each counseling session with a better understanding of their Soldier's concerns, problems, goals, successes, and expectations.

2. Mandatory actions in support of counseling:

a. Leaders will maintain a counseling packet for all assigned Soldiers IAW this SOP. Failure to do so will be reflected on the leader's periodic counseling and or evaluation.

b. Leaders will secure counseling folders and all Personally Identifiable Information (PII) IAW Army and Department of Defense (DoD) regulations.

c. Leaders under the General Court Martial Convening Authority (GCMCA) of 4ID will at minimum read ATP 6-22.1, *Providing Feedback: Counseling – Coaching – Mentoring*, dated February 2024. Leaders will review counseling packets of Soldiers in the grades of **E-1** through **E-4 regularly** and those in the grade of **E-5** and **above** at minimum **quarterly**. Counseling files are subject to command review at any time to instill good order and discipline.

The Counseling Process

3. Counseling is central to leader development. It is the process leaders use to guide subordinates to improve substandard performance, recognize superior performance, and develop potential. Counseling provides clear, timely, and accurate information concerning individual performance. It also serves to reinforcing expectations, assess subordinates progress toward meeting expectations, and gain insights into individual potential, strengths, and developmental needs. ***The counseling process is distinct from the documentation process.***

4. Counseling statements may be used as the basis for administrative separation, per Army Regulation (AR) 635-200, if [requisite language](#) is cited in the counseling.

The Documentation Process

5. The documentation process is required because it allows leaders to establish, discuss, and review quantifiable and qualitative performance expectations. Additionally, it assists in eliminating unsatisfactory performance, reducing the use of adverse administrative actions.

4ID Counseling Standards

6. ***The Chain of Command (CoC) will conduct a reception and integration counseling for newly assigned Soldiers regardless of rank within 72 hours of new assignment to the unit.*** Prior to reception integration counseling, *Company and Battalion level Command Teams will access the Commander's Risk Reduction Toolkit (CRRT) and screen all personnel for any high-risk indicators that may require additional examination.*

7. Command Teams will dedicate and protect administrative time monthly on training calendars to allow conduct of counseling sessions and inspection of counseling packets.

a. Leaders must be clear, concise, and specific in counseling. When a negative even-oriented counseling is conducted, leaders will be careful not to quote presumed UCMJ violations but rather state facts of who, what, when, where, and why (5Ws) as the counseling may be instrumental in future punitive or non-punitive punishments.

b. Soldiers in the ranks of E-1 through E-5, W01 through W02, and 2LT through CPT ***are mandated*** to complete an in-processing survey upon arrival to FCCO IAW AR 600-8-8.

c. All counseling, regardless of the type, must be closed out in Part IV of the DA 4856. Counseled individuals must always receive a copy of the DA 4857.

Counseling Tips for Leaders

8. Adhering to the following standard practices will maximize the productivity of each counseling session and ensure completeness and consistency within organizations.

- *Set routine counseling dates and share these with subordinates.*
- *Pick an area that is comfortable for both parties.*
- *Listen to understand rather than listening to respond.*
- *Give positive and constructive feedback; don't become defensive.*
- *Be clear, concise, and to the point.*
- *Reach out to agencies and leaders when faced with situations you are unfamiliar with for support.*
- *Set meaningful and attainable expectations.*
- *Approach every counseling session with a positive outcome in mind.*

- *Continually assess Soldier progression and performance.*
- *It's not what's said, rather how it's said; remain respectful and professional.*

Types of Counseling

9. While various types of counseling exist, developmental counseling are the Army's most important tool for developing future leaders. Leaders should emphasize routine counseling to reinforce positive behavior and superior performance. The three major categories of developmental counseling include:

a. **Event Oriented.** Event oriented counseling involves a specific event or situation. It may precede events such as participating in promotion boards, attending training courses, and preparing for deployment or redeployment. It also addresses events such as noteworthy duty performance, issues with duty performance, mission accomplishment, or personal issues.

b. **Performance Counseling.** Counseling at the beginning of and during the evaluation period ensures the subordinate's personal involvement in the evaluation process. Performance counseling communicates standards and is an opportunity for leaders to establish and clarify the expected values, attributes, and competencies. Army leaders ensure that performance objectives and standards focus on the organization's objectives and the individual's professional development.

c. **Professional Growth.** Professional growth counseling includes planning for the accomplishment of individual and professional goals. During the counseling, leader and subordinates conduct a review to identify and discuss the subordinate's strengths and weaknesses and to create an individual development plan that builds upon those strengths and compensates for, or eliminates, shortcomings.

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Counseling Framework

10. A counseling session should rarely be a one-way conversation from the leader to the Soldier, but rather an opportunity for the leader to learn and understand the Soldier through dialogue. Therefore, the Soldier should do most of the talking while the leader listens and asks follow-up questions. Regardless of the strategy or techniques used, the qualities of a good leader remain unchanged: display respect for the Soldier, self-awareness, cultural awareness, empathy, and credibility. Every counseling session includes a **risk mitigation** discussion and a **growth** discussion. Typically, a counseling for a high-risk Soldier includes a larger risk-mitigation discussion than counseling for a low-risk Soldier which focuses more on growth. Eye contact, posture, and non-verbal recognition cues, together known as active listening, are instrumental in any counseling session. Note-taking is critical to capture the discussion for future reference.

11. Generally, a good counseling session follows this format:

- a. **Open** the session with a clear purpose statement.
- b. **Discuss** the identified issues.
- c. **Develop** a plan of action together, including leader responsibilities and assessment criteria.
- d. **Close** the session by summarizing key points and ensuring the subordinate understands what was discussed and agrees to the plan of action.

12. Should the leader identify any risk indicators that require immediate attention (e.g. suicidal thoughts), they should deviate from the counseling plan and conduct **immediate mitigation** using related and available resources (e.g. chaplain, behavioral health, etc.). If you suspect the Soldier of committing an offense or if the Soldier makes a statement that could be criminally or administratively self-incriminating, the leader must halt the session and should inform the Commander and First Sergeant for more guidance.

13. When discussing the Soldier's capability and training, keep the fundamentals in mind. The 4th Infantry Division and Fort Carson use READY and the Standards Guide (The Green Book) as the standard for everything we do. We must master these concepts and keep ourselves and our Soldiers focused on them.

14. Remember: live the Army Values and treat others as you would like to be treated. It all boils down to engaged Leaders that lead by example, all the time.

The IVY Comprehensive Counseling Packet (CCP)

15. The [IVY CCP](#) is the 4ID and FCCO standard. Each tab, numbered from front to back, will consist of the below at a minimum. Subordinate members of the NCO chain may add to the counseling packet but should consider that a counseling packet is a quick snapshot, not a detailed memoir of everything a Soldier does or does not do.

Section	Contents
Tab 1: <i>Personal Information</i>	<ul style="list-style-type: none"> ▪ Personal Data Sheet - Soldier Data Card ▪ 4ID Golden Triangle ▪ Soldier Talent Profile (STP) ▪ DD93 (Record of Emergency Data) ▪ SGLV (Service Member Group Life Insurance) ▪ Military/Civilian Vehicle Documents*
Tab 2: <i>Professional Development</i>	<ul style="list-style-type: none"> ▪ Professional Development Model by MOS ▪ Validating Promotion Points* ▪ DA-3595-R (Record Fire Scorecard) ▪ DA-705 (ACFT Scorecard) ▪ DA-5500 (Body Fat Content Worksheet)*
Tab 3: <i>Event Oriented Counseling</i>	<ul style="list-style-type: none"> ▪ DA-4856 (Adverse Counseling)* ▪ Article 15(s)* ▪ Bar to Reenlistment* ▪ Flagging Action*
Tab 4: <i>Developmental Counseling</i>	<ul style="list-style-type: none"> ▪ DA Form 5434 (Sponsorship Program Counseling Information)* ▪ DA-4856 (Reception Integration Counseling) ▪ DA 2166-9-1A (NCOER Support Form E5 - E9)* ▪ DA 67-10-1A (Off. Support Form W01 - O6)* ▪ 4ID PAR Card* ▪ Fort Carson SLRRT* ▪ IDP* ▪ Fort Carson Intervention Plan* ▪ DA-4856 (Performance/Professional Growth Counseling)*

*If applicable

TAB 1

PERSONAL INFORMATION**Soldier Data Card**

1-1. The Soldier Profile Card is a useful tool to consolidate the Soldier's key administrative data and provide a history of life events that affect the Soldier's overall resiliency, job performance, and financial health. Leaders maintain this tool as a snapshot of each Soldier, then use it to convey risk assessments to the leadership. Units may adapt it to meet their specific needs (i.e. adjust the data fields or embed a picture of the Soldier's off-post quarters), as well as adjust the milestone timeline slide to fit the Soldier's unique situation. A good practice is to keep a timeline for each year of the Soldier's career, capturing highs and lows to paint a picture for the current and future commands. Leaders, however, are encouraged to use discretion regarding how much the timeline captures based on the age, experience, and maturity of the Soldier.

1-2. Soldier Data Cards should be standardized at the company level (at a minimum). Useful sections include:

- Administrative data (name, rank, section, assigned leader, etc.)
- Photo
- Areas of stress or concern, with details
- Areas of success/emphasis
- Plan of action moving forward
- Timeline of the Soldier – major personal and professional events

4ID Golden Triangle

1-3. All Soldiers will complete the [Golden Triangle](#) immediately when assigned to their respective section. All Soldiers are assigned a buddy in the event of an incident. Contact can be made with either the assigned buddy or family member. The Golden Triangle will be validated by the immediate supervisor during the first 72 hours of reception and integration.

Soldier Talent Profile (STP)

1-4. The STP tells a Soldier's story. Leaders should review regularly paying close attention to Soldier's Time on Station, YMAV, AEA Codes, and Slotting. The STP allows Soldiers to stand out from their peers for improved career mobility and satisfaction. Soldiers can self-profess knowledge skills behaviors and experience as well as their job and locations preferences. Soldiers can procure a copy of their STP by visiting the [Integrated Personnel and Pay System \(IPPS-A\)](#).

DD93 Emergency Notification / Service Member Group Life Insurance (SGLV)

1-5. The DD 93 is used to designate beneficiaries and provide the Soldier's command with the names and addresses of the people the Soldier desires to be notified in case of emergency or death. Servicemember's Group Life Insurance offers low-cost term coverage to eligible Soldiers. Soldiers who meet certain criteria are automatically enrolled in SGLV. Both documents must be updated annually or when life circumstances change (i.e. marriage, divorce, etc). DD93 is updated via [IPPS-A](#) and SGLV is updated via [MilConnect](#).

Individual Medical Records

1-6. Leaders are responsible for monitoring their Soldiers' individual medical readiness. Work with your Soldiers to resolve medical discrepancies and delinquencies immediately. To access individual records, visit the [MEDPROS](#) website. ***There is no requirement to maintain medical record statuses in counseling packets.***

Military / Civilian Vehicle Documents

1-7. Based on the citation trends on FCCO, a copy of the Soldier's license, registration, and proof of insurance is highly recommended. This ensures that Soldier's meet both military and civilian requirements to operate a motor vehicle. Soldiers who operate motorcycles must also provide proof of Basic Rider's Course completion. While not an Army mandate, [Personally Owned Vehicle \(POV\) inspections](#) are recommended to be conducted for all Soldiers who plan to travel more than 350-miles from FCCO. A copy of the DA Form 348 should be included in the counseling packet for Soldiers licensed on a tactical vehicle.

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TAB 2

PROFESSIONAL DEVELOPMENT

Validating Promotion Points

2-1. Promotion points information can be validated through [IPPS-A](#) using the Promotion Points Tile. If this tile is not readily available on the Soldier's homepage, the individual may add it via the Personalize Homepage Tab. This tile can also be reached through the navigation bar. *The navigation path is: NavBar > Self Service > Promotion Points.*

Scorecards and Qualifications

2-2. The Record Fire Scorecard (DA-3595-R), Army Combat Fitness Test Scorecard (DA-705) and Body Fat Content Worksheet (DA-5500) assist both the Soldier and the leader with determining promotion points while ensuring that there is a clear understanding of how Warrior Tasks can be improved. *The Body Fat Content Worksheet is only required if the Soldier exceeds the authorized screening table weight for their age and measured height.*

Training Records

2-4. IAW AR 700-84, all Soldier training information must be updated using electronic systems of records, such as the [Digital Training Management System](#) (DTMS) and the [Army Training Requirements and Resource System](#) (ATTRS). *There is no requirement to print digitally maintained training records for counseling packets.*

Organizational Clothing and Individual Equipment (OCIE)

2-5. All Soldiers, regardless of rank, are required to maintain accountability of their equipment. Initial personal equipment inventories **must be conducted** with 30 days of arrival for Soldiers in the grade of E-1 through E-4 and prior to Education System attendance for NCOs. This will ensure all Soldiers receive basic issue of all required items from the Central Issuing Facility.

2-6. Clothing records must be kept on file in the unit at the company, troop, or battery supply room. *There is no requirement to maintain these in the counseling packet.*

TAB 3

Event Oriented Counseling

3-1. Counseling is essential. Good, useful counseling's do not solely focus on the reprimand of a Soldier but rather it should spark a conversation between the leader and the led to determine the reasons and stressors that might have led to the action. *Why does the Soldier think they acted in that way? What does the Soldier think they could have done differently?*

Article 15(s), Bar to Continued Service, Flag Action

3-2. Maintaining documents related to adverse actions in the counseling packet assists the Soldier and leader with tracking punishments in place. It also helps to ensure the Soldier and leader are both aware of any extra duty or restrictions.

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TAB 4

Developmental Counseling

4-1. The DA 4856 **will be used** to conduct developmental counseling for all junior enlisted Soldiers. While there is no prescribed frequency to conduct counseling, a best practice is to **counsel monthly**. This allows the Soldier and leaders to build a connection of trust and understanding.

4-2. For NCOs, WO1 – WO2, and 2LT – CPT, counseling **will be conducted** within 30 days from the beginning of the rating period and quarterly thereafter.

4-3. It is helpful to develop a duty description for the Soldier and identify major performance objectives to accomplish during the rating period. Use of the appropriate support form for NCOs and grades WO1 – O6 is **mandatory and required** in conjunction with counseling. Officers will use the DA 67-10-1A evaluation support form. NCOs will use the DA 2166-9-1A evaluation support form.

Article 15(s), Bar to Continued Service, Flag Action

4-4. Maintaining documents related to adverse actions in the counseling packet assists the Soldier and leader with tracking punishments in place. It also helps to ensure the Soldier and leader are both aware of any extra duty or restrictions.

Additional Leader Tools

4-5. **Counseling Enhancement Tool** ([GTA 22-01-002 /33-01-003](#)). These tools provide a structured process for NCOs and Soldiers to share observations, discuss expectations, and develop collaborative plans to assist in performance counseling.

4-6. **Individual Development Plan (IDP) and Soldier's Career Map**. An Individual Development Plan (IDP) is a performance improvement tool. It is completed in partnership with the supervisor and/or mentor and Soldier. When properly used, IDPs include all the training and leader development activities that assist individuals in reaching their career goals. The Soldier's Career Map is a viable tool for both and the leaders during Professional Growth counseling. The leader can assess the subordinates' strengths and weakness and guide the Servicemember on a path that best suits their capabilities based on the Leaders experience. It provides the Soldier a guide to attain goals and accomplishments during their tenure in the Army.

4-7. **The Soldier Leader Risk Reduction Tool**. The initial counseling along with the Soldier Leader Risk Reduction Tool (SLRRT) **will be conducted** within 30 days of the Soldier being assigned to the unit. The SLRRT tool assists Leaders by identifying personnel who have moderate or high-risk indicators that require higher echelon involvement. The SLRRT should be used during the developmental counseling process

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and not as a single measure of a Soldier's level of functioning or to predict high risk behaviors. Upon review of the completed SLRRT, if a leader deems the Soldier moderate or high risk, they are mandated to report to their higher command team for involvement.

4-8. [Fort Carson Installation Prevention Plan](#). This Installation Prevention Plan was created by members of the Fort Carson prevention community and is a compilation of proposed interventions and strategies appropriate for commanders and providers to utilize to reduce high risk behaviors through understanding and mitigation of compounding factors. This plan encompasses prevention and training activities by the team in place. *It is not required to be maintained in counseling packets but is a useful resource for leaders.*

4-9. [4ID PAR Card](#). The PAR Card is a tool first line leaders can use in addition to the reception integration counseling to connect with their Soldier. Additionally, it allows the Soldier to reflect on their personal and professional goals while also identifying obstacles they may have to overcome as they begin their assignment on the Mountain Post. *It is not required to be maintained in counseling packets but is a useful resource for leaders.*

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Annex A

REFERENCES

A-1. The following publications are essential references for leaders executing this SOP to conduct effective counseling throughout 4ID and FCCO.

- a. FM 6-22. Developing Leaders.
- b. ATP 6-22.1. Providing Feedback: Counseling-Coaching-Mentoring. 13 February 24.
- c. AR 350-1. Army Training and Leader Development. 10 December 2017.
- d. AR 623-3. Evaluation Reporting System. 14 June 2019.
- e. DA PAM 623-3. Personnel Evaluation Reporting System.
- f. AR 600-8-8. Total Army Sponsorship Program.
- g. AR 601-280. Army Retention Program.
- h. Army Pamphlet 600-24. Health Promotion, Risk Reduction.
- i. FM 7-22. Holistic Health and Fitness. 1 October 2020
- j. GTA 22-01-002. Counseling Enhancement Tool–Soldier. 1 September 2023.
- k. GTA 22-01-003. Counseling Enhancement Tool–Leader. 1 September 2023.
- l. DA PAM 600-25. U.S. Army Noncommissioned Officer Professional Development Guide.
- m. 11 September 2023. Field Manual (FM) 7-0 *Training*, 14 June 2021.
- n. FORSCOM Regulation 350-50-1 *Training at the National Training Center*, 29 October 2018.

A-2. DA Forms are available online: <https://armypubs.army.mil>; 4ID SOP supporting documents are located on the SharePoint under SOPs: <https://armyetaas.sharepoint-mil.us/sites/IIAC-4ID>

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READY