

U.S. Training and Doctrine Command Defense Performance Management and Appraisal Program Business Rules

1. Introduction

a. This document provides business rules that will be in effect across the U.S. Army Training and Doctrine Command (TRADOC) for the Defense Performance Management and Appraisal Program (DPMAP). This document is intended only as a supplement to the Department of Defense Instruction 1400.25, Volume 431, DOD Civilian Personnel Management System: Performance Management and Appraisal Program found at http://www.dtic.mil/whs/directives/corres/pdf/140025_vol431.pdf. TRADOC DPMAP business rules are to be used in conjunction with the roles, functions, requirements, and responsibilities already defined by law, regulation or DOD policy.

b. Adherence to these business rules is required. In the rare instance when a deviation from a business rule may be warranted, written approval must be obtained by submitting a request to the Headquarters (HQ) TRADOC G-1/4. Supplementation is permitted provided the additional guidance and instructions are consistent with the information presented in these business rules.

c. If DPMAP locally negotiated implementation and execution provisions conflict with these rules, advise TRADOC G-1/4, CHRD, of the specific conflicting provisions. Ensure all applicable local collective bargaining obligations associated with the rules are met.

2. Roles/Responsibilities

a. Commander/Director/Senior Leader is responsible for:

(1) The overall and proper execution of this program throughout their organization.

(2) Conducting an overall review of the ratings at the end of each rating cycle to ensure consistency and fairness throughout their organization. At a minimum, the review will compare ratings throughout each directorate, similar occupations and grades, locations (if applicable).

(3) Establishing the rating structure within their organization for higher level reviewers (HLR).

(4) Ensuring appropriate approval has been obtained for those instances where the rating official (RO) and HLR will be the same individual for an employee. All requests for exception to two-tier rating must be supported by sufficient rationale to justify the request. Oversight and accountability are key components of DPMAP; therefore, a summary of exceptions granted throughout the rating cycle will be provided annually to Deputy Chief of Staff, G-1/4, Civilian Human Resources Directorate.

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(5) Ensuring G-1/Human Resources liaisons establish local timelines for establishing and completing performance plans and appraisals.

b. HLRs are responsible for:

(1) Reviewing and approving ratings provided by all subordinate ROs to ensure consistency and fairness across their area of responsibility. The HLR can override a rating and determines the final rating.

(2) Verifying that workforce performance elements and standards are in line with DOD and Department of the Army (DA) core values, as well as the organization's mission and goals.

(3) Reviewing and approving the employee's performance plan, ensuring that appropriate job performance elements and standards are developed, and the final RO assessment and rating of record in the MyPerformance Tool (hereafter known as the tool) are completed within locally established timelines.

(4) Reviewing and approving revisions made to the employee's performance plan in the tool (the management official within the employee's chain of command, determined by the Commander/Director).

(5) Reviewing and approving the progress reviews in the tool within locally established timelines when the employee's performance is less than "Fully Successful".

(6) Reviewing and approving the RO assessment when the RO or employee separates the organization during the rating cycle. Entire process to be completed prior to the RO or employee departing from the organization (when possible). *See Specially Situated Employee rules in the Department of Defense Instruction (DODI) 1400.25 V-431 for more information.*

c. ROs are:

(1) Normally, the employee's first line supervisor.

(2) Responsible for:

(a) Ensuring workforce performance elements and standards are in line with DoD and DA core values, as well as the organization's mission and goals.

(b) Ensuring employees have the opportunity to provide input into their performance elements and standards.

(c) Ensuring the employee's performance plan is in the tool within locally established timelines.

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(d) Making the appropriate revisions to performance elements and/or standards, and communicating changes to the employee as soon as an update is deemed necessary, but no later than 90 calendar days before the end of the rating cycle. All changes must be documented in the tool. Changes to mission, organizational goals, work unit priorities, or assigned duties that occur during the appraisal cycle may necessitate revisions to the performance plan. The Performance cycle can be extended for a short period of time as needed to meet the 90 days requirement. Employees may only be rated on assignment when the employee has had a full 90 calendar days to perform under an approved plan.

(e) Conducting a minimum of three formal performance discussions during the rating cycle. The initial performance plan to discuss performance expectations, one progress review during the appraisal cycle (typically mid-way), and the final discussion to communicate the rating of record. Discussions are documented in the tool.

(f) Conducting informal performance discussions with employees throughout the rating cycle to obtain and/or provide feedback. Continuous two-way communication during the course of the rating cycle is an expectation of this performance system.

(g) Preparing an RO assessment for each progress review and annual appraisal addressing each element and standard stating their accomplishments and impacts on the organization mission, in the tool within locally established timelines. Annual assessment must also include a recommended final rating of record.

(h) Preparing an RO assessment and recommending a final rating of record (if required) when the RO or employee separates the organization during the rating cycle. Entire process to be completed prior to the RO or employee departing from the organization (when possible). *See Specially Situated Employee rules in the DODI 1400.25 V-431 for more information.*

(1) If a supervisor leaves the organization, a performance narrative statement is required when an employee has performed under an approved performance plan for 90 calendar days and there are more than 90 calendar days left in the appraisal cycle. This narrative statement will be considered by the incoming supervisor.

(2) A rating of record is required when an employee has performed under an approved performance plan for 90 calendar days and the employee or supervisor leaves the organization with fewer than 90 calendar days remaining in the appraisal cycle. If circumstances preclude the departing supervisor from carrying out this responsibility, the HLR official may serve as the rating official.

(i) Creating and maintaining functional program records in accordance with AR 25-400-2, The Army Records Information Management System (ARIMS).

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(j) Recognizing and rewarding employees throughout the rating cycle using monetary and non-monetary resources. Awards resulting from a performance appraisal, both cash and time off, cannot be executed until after the performance appraisal effective date.

(k) HLRs and ROs can assign Trusted Agent(s) to act on their behalf. The authorization does not alleviate ROs or HLRs' performance management responsibilities to continue the hands-on work of monitoring, reviewing, and appraising employees on their performance, and the RO or HLR retains ownership of the plan. The Trusted Agent purpose is to document the ROs or HLRs decisions in the employee's record.

d. Employees are responsible for:

(1) Providing input to and discussing performance elements, standards, and expectations with RO and acknowledging the performance plan in the tool within locally established timelines.

(2) Providing a self-assessment for progress review and the annual appraisal addressing each performance element and standard stating their accomplishments and impacts on the organization's mission (verbally or in writing, depending on local policy). Employee input is not mandatory but is highly encouraged and valuable during and at the end of the appraisal cycle.

(3) Preparing self-assessment when employee or RO separates from the organization during the last 90 days of the rating cycle (known as an early Closeout Appraisal) in the tool. Entire process to be completed prior to the RO or employee departing from the organization (when possible). *See Specially Situated Employee rules in the DODI 1400.25 V-431 for more information.*

(4) Keeping track of their performance and accomplishments throughout the rating cycle using MyJournal in the tool or other form of recordkeeping.

(5) Initiating informal performance discussions with the RO to obtain feedback on performance, especially in instances where assigned duties differ from established performance elements and standards.

3. Appraisal Process

a. Performance Plan

(1) Performance plans will be established for all General Schedule and Wage employees (to include Pathways employees) unless their appointment is for less than 90 calendar days. Temporary Employees (serving under a temporary appointment for less than 1 year who agree to serve without a performance evaluation and who will not be

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considered for a reappointment or for an increase in pay based in whole or in part on performance) are excluded.

(2) Performance plans will be established (RO), approved (HLR), and acknowledged (Employee) in the tool within 30 calendar days from the beginning of the rating cycle or no later than 30 calendar days after assignment to position.

(3) All performance plans will have a minimum of three performance elements; maximum of 10 (recommend 3 to 5 for employees, and 5 to 7 for supervisors). There should be more than one standard under each element. All standards should be written at the fully successful level. All performance elements are critical elements.

(4) Performance standards should be developed using the SMART model as a guideline. Tips on developing standards can be found at <https://dodhrinfo.cpmis.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Performance-Management/Documents/TipsforEstablishingPerformancePlans.pdf>

(5) The number of performance elements for supervisors must be equal to or greater than the number of technical elements. Performance plans for all supervisors and managers evaluated under DPMAP will (see Encl 1):

(a) address organizational management and leadership.

(b) address the accomplishment of Equal Employee Opportunity and Diversity requirements and objectives.

(c) address hiring reform requirements and objectives for all managers and supervisors with hiring authority, which also includes emphasis on organization requirement guidance and oversight activities for Human Resources supervisors involved in the hiring process, when applicable.

(6) Absolute standards will be used in only rare circumstances (safety, security).

(7) Except in rare and unusual circumstances, all performance discussions will be conducted face-to-face. HLRs are not required to conduct face-to-face discussions.

(8) Use Option A (actual transfer of document to HLR) in the tool for approving all performance plans and appraisals. Only in rare circumstances will an RO approve on behalf of an HLR.

b. Progress Reviews

(1) Progress reviews are required for all employees to include those who enter the organization at or after mid-cycle.

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(2) In general, a progress review will be conducted at appropriate interval in the employee's rating cycle.

(3) ROs and employees are required to provide narrative assessments (verbally or in writing, based on local policy).

(4) The progress review process, i.e., assessments (RO & Employee), discussion (RO & Employee), document occurrence (RO), and acknowledgement (Employee) will be documented in the tool within locally established timelines.

(5) Except in rare and unusual circumstances, all performance discussions will be conducted face-to-face. HLRs are not required to conduct face-to-face discussions.

c. Annual Appraisal

(1) The supervisor will evaluate employee performance by assessing performance against the elements and standards in the employee's approved performance plan and assigning a rating of record based on the work performed during the appraisal cycle. A written rating of record must be provided at the end of the appraisal cycle for each employee who has been under an approved performance plan for 90 calendar days during the cycles. This includes students who only work during summer and winter breaks.

(2) ROs are required and employees encouraged to submit narrative assessments into the tool. Students will need to submit their assessment prior to returning to school.

(3) Each performance element will be addressed, as well as how the accomplishments contributed toward meeting performance elements and standards. Input will also address the impact of such accomplishments on mission achievement. This includes element rated Level 3, Fully Successful.

(4) If an employee has been detailed or on a developmental assignment during the rating period, the detail/developmental assignment supervisor will provide input to the RO on the employee's performance. The RO will consider that input when assessing the employee's performance during the rating period.

(5) The RO assessment must contain sufficient information to support the proposed final rating of record before the final rating is approved by the HLR.

(6) If the HLR is unavailable to review/approval the rating of record, the HLR's supervisor (or designee) will be the final approval.

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(7) The Annual Appraisal process, i.e., assessments (RO & Employee), recommended rating of record (RO), approval (HLR), discussion (RO & Employee), document occurrence (RO), and acknowledgement (Employee) will be documented in the tool and completed within locally established timelines.

(8) Except in rare and unusual circumstances, all performance discussions will be conducted face-to-face. HLRs are not required to conduct face-to-face discussions.

(9) Ratings are final when signed by the HLR. Except in unusual cases where the rating is not approved by 1 June, all ratings will be effective on 1 June.

4. **Unacceptable Performance.** If applicable, procedures to address unacceptable performance and/or the implementation of performance improvement plans will be conducted consistent with the requirements of DOD Instruction and locally negotiated collective bargaining agreements.

5. DPMAP training is located on ALMS at <https://www.lms.army.mil/>; and DPMAP resources can be found at <https://www.dcpas.osd.mil/LER/DPMAP#>.

6. DPMAP Points of Contacts are Hannah Scott, hannah.m.scott9.civ@mail.mil, (757) 501-6808 and Hannah Morton, hannah.r.morton.civ@mail.mil, (757) 501-6805.


W. D. BRINKLEY 13 Feb 19
Senior Executive Service
Deputy Chief of Staff, G-1/4

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**DEFENSE PERFORMANCE MANAGEMENT AND APPRAISAL PROGRAM (DPMAP)
THE DEPARTMENT OF THE ARMY
MANDATORY SUPERVISORY FOCUS AREAS AND STANDARDS**

1. Management and Leadership Focus Area

Standard: Execute the full range of human resources, performance management, and fiscal responsibilities within established timelines and in accordance with applicable regulations. Establish performance plans, with subordinate input, ensuring alignment with organization's mission and goals within 30 days of entering the appraisal cycle or upon the employee's assignment or assignment to a new set of duties. Complete the appraisal process within 60 days of the end of the appraisal cycle. Engage in a minimum of three feedback discussions to support an understanding of progress towards expected goals. Use various types of awards and recognition throughout the appraisal cycle to reward excellent performance and foster a high performing culture. Provide information to subordinates regarding the organization's communication strategy for promoting employee engagement and mentoring. Develop subordinates through mentoring, counseling, training, and work assignments. Foster employee engagement by communicating openly and demonstrating and encouraging trust and respect both within the work unit and between work units. Engage employees in developing or revising their Individual Development Plan (IDP) within 90 days of the approval of the performance plan, discuss professional developmental goals, and facilitate accomplishment of goals, as appropriate. Maintain a safe work environment with regular physical safety checks and by addressing unsafe behaviors at the workplace.

2. Equal Employment Opportunity (EEO) and Diversity Focus Area

Standard: Remain informed on EEO/EO principles, and ensure federal laws and regulations governing workplace behavior are adhered to. Support and communicate the Army EEO, Diversity, and Anti-Harassment Policies. Notify employees of avenues of redress and encourage them to report instances of discrimination. Upon notification of an alleged discriminatory incident contact an EEO official immediately, but generally not later than within 2 business days. Take appropriate corrective action if sexual harassment or discriminatory/unlawful treatment is observed or reported. Ensures all subordinates complete required EEO training prior to the end of the fiscal year.

New employees: Provide EEO policy and mandatory training requirements to all new employees within 60 days of their entrance on duty (EOD).

New Supervisors: Ensure all new subordinate supervisors have all EEO-related supervisory requirements, elements, and standards included in their approved performance plans within 30 days of assignment to a supervisory position.

Encl 1

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3. Hiring Reform Focus Areas

a. Hiring Reform Focus Area 1: Hiring Reform - Effectively Attract/Recruit a High Caliber Workforce *(For managers and supervisors involved in the hiring process)*

Standard: Effectively recruit a high caliber workforce in accordance with measurements identified in organizational staffing/hiring goals. Ensure employee's successful transition/retention into the Federal Service by providing opportunities for orientation and the required tools within the first 30 days of employment to help them perform successfully during their probationary/trail period. Identify position requirements annually to ensure recruiting is appropriately focused and timely to produce high quality candidate pools. Engage Leadership for approval to fill vacant positions within 10 days after a position becomes vacant. Hiring decisions are typically finalized within 3 work days of completing all requirements such as interviews, panel reviews, reference checks, etc. The hiring actions should be done with no more than three instances where timelines are not met and/or not completed IAW the organizational staffing/hiring goals within the supervisor's control.

b. Hiring Reform Focus Area 2: Provide leadership and support in successfully implementing the initiatives outlined in The White House, Office of the Press Secretary, Memorandum for Heads of Executive Departments and Agencies, subject: Improving the Federal Recruitment and Hiring Process, dated May, 11, 2010 *(For HR supervisors involved in the hiring process)*

Standard: Provide leadership and support to successfully implement the initiatives outlined in the President's Hiring Reform. Ensure selectees participate in on-boarding processes within 5 workdays of entrance on duty and IAW Army Acculturation Onboarding Model. Effectively attract/recruit a high caliber workforce in accordance with measurements identified in organizational staffing/hiring goals. Identify current/future position requirements to ensure recruiting is appropriately focused and timely to produce high quality candidate pools. Ensure hiring timelines within Leadership's control are met with no more than three instances where timelines are not met and/or not completed IAW the organizational staffing/hiring goals.