



DEPARTMENT OF THE ARMY
OFFICE OF THE ASSISTANT SECRETARY
MANPOWER AND RESERVE AFFAIRS
111 ARMY PENTAGON
WASHINGTON, DC 20310-0111

JUL 5 2017

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MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Defense Performance Management and Appraisal Program Supervisory Elements and Standards

1. References:

a. Department of Defense (DoD) Instruction 1400.25, Volume 431, 4 February 2016, subject: DoD Civilian Personnel Management System: Performance Management and Appraisal Program.

b. Army Regulation 690-12, 22 December 2016, subject: Equal Employment Opportunity and Diversity.

c. Memorandum, Office of the Under Secretary of Defense, 1 November 2010, subject: Hiring Reform Mandatory Performance Objective (Encl 1)

2. The purpose of this memorandum is to provide guidance on an approach to assess and evaluate supervisory performance expectations, which must align with organizational goals, under the Defense Performance Management and Appraisal Program (DPMAP). Reference 1a requires that each employee has an established and approved written performance plan. This process is normally completed within 30 calendar days of the beginning of the appraisal cycle or upon the employee's assignment to a new position or set of duties. A performance plan will include the employee's performance elements and standards. Performance elements describe the expectations related to the work being performed. Performance standards describe how the requirements and expectations provided in the performance elements are to be evaluated. All performance elements, including those related to supervisory duties, are critical elements.

3. The DPMAP requires the number of supervisory performance elements to equal or exceed the number of non-supervisory (technical) performance elements. However, the requirement for the number of supervisory performance elements to equal or exceed the number of non-supervisory elements does not apply to employees coded as Supervisor Civil Service Reform Act (CSRA) code "4" in the Defense Civilian Personnel Data System.

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SUBJECT: Defense Performance Management and Appraisal Program (DPMAP)
Supervisory Elements and Standards

4. Program accountability is a major facet of the DoD appraisal program. DPMAP aims to create a fair, credible, and transparent performance appraisal process and calls for institutionalizing a culture of high performance through greater employee/supervisory communication and accountability, increased employee engagement, and added transparency in these processes. Supervisors and managers will serve as major catalysts for expected cultural and attitudinal changes.

5. To emphasize the importance of supervisory roles and responsibilities, this memorandum directs that three specific performance focus areas will be included in all supervisory performance plans: (1) Management and Leadership, (2) Equal Employment Opportunity and Diversity, and (3) Hiring Reform. Department of the Army sample performance language for addressing Management and Leadership and Equal Employment Opportunity and Diversity are provided at Enclosure 2 for your consideration. I encourage you to use this narrative or words similar to convey the same intent. Reference 1c requires the inclusion of a Hiring Reform performance standard for all managers and supervisors with hiring authority and for Human Resources supervisors responsible for hiring activities and provides DoD directed performance standard language that may be used in its entirety or may be revised as appropriate. With respect to Hiring Reform, this requirement is intended to ensure all managers and supervisors with hiring authority are held accountable for recruiting and selecting highly-qualified employees.

6. You have the discretion on the number of elements you may create to incorporate these directed performance requirements identified in this memorandum into supervisor and manager performance plans. You have flexibility to develop performance standards that address different levels of supervision and varying types of work environments. It is recommended that you develop a consistent approach in establishing performance expectations that will be instrumental in achieving expected cultural and attitudinal changes. You may include additional supervisory requirements (elements) you deem appropriate for assessing the performance of supervisors in your respective organizations. You should ensure that standards include specific, measurable, achievable, relevant, and timely (SMART) criteria. This criterion provides the framework for developing effective results and expectations.

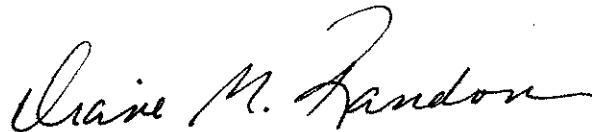
7. The success of a good performance management system hinges on developing clear performance elements and standards that communicate how expected outcomes are linked to organizational goals and objectives and how performance will be measured throughout the appraisal cycle. Performance elements and standards should clearly communicate expectations of job performance required to achieve mission success. To assist with the development of performance plans, DoD developed tips

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and guidelines to assist you in this effort. These tips and guidelines are provided at Enclosure 3.

8. This memorandum is specifically applicable to managers and supervisors covered under DPMAP; however, it may be administratively adopted by other personnel systems. The guidance and direction in this memorandum will be reviewed within 12 months and revisions will be published as necessary. Points of contact for performance management are Ms. Constance B. Ray, OASA(MRA), 703-695-5149, DSN 225-5149, constance.b.ray2.civ@mail.mil, and Ms. Bonnie W. Roberts, OAG-1CP, 703-806-3886, DSN 656-3886, bonnie.w.roberts.civ@mail.mil.



DIANE M. RANDON
Senior Official Performing the Duties of the
Assistant Secretary of the Army
(Manpower and Reserve Affairs)

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Supervisory Elements and Standards

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4000 DEFENSE PENTAGON
WASHINGTON, DC 20301-4000

PERSONNEL AND
READINESS

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Hiring Reform Mandatory Performance Objective

The purpose of this memorandum is to announce the inclusion of a Fiscal Year 2011 performance requirement for hiring managers/supervisors and Human Resources (HR) supervisors responsible for hiring activities. This memorandum is a complement to the memorandum issued on October 5, 2010, which set forth a similar requirement for senior level personnel, and the Hiring Reform Call to Action memorandum of October 22, 2010, which informed Department leadership of the need to establish hiring reform accountability measures.

The President released a memorandum, "Improving the Federal Recruitment and Hiring Process" on May 11, 2010. The Presidential Memorandum outlined requirements needed to improve the Federal hiring process and attract the most highly-qualified candidates for Federal government positions. The Memorandum required all managers and supervisors with hiring authority be held accountable for recruiting and selecting highly-qualified employees. To ensure compliance with the Presidential Memorandum, the following performance language, or similar language, must be incorporated into existing performance standards of managers/supervisors and HR supervisors responsible for hiring activities:

For managers/supervisors: "Effectively attract/recruit a high caliber workforce in accordance with measurements identified in organizational staffing/hiring goals; ensure successful transition/retention into Federal Service by providing opportunities for orientation and tools for enabling employees to successfully perform during the probationary period. Identify current/future position requirements to ensure recruiting is appropriately focused and timely to produce high quality candidate pools. Act responsibly and timely on all hiring decisions."

For HR Supervisors involved in the hiring process: "Provide leadership and support in successfully implementing the initiatives outlined in the President's Hiring Reform."

Hiring reform is key to the Department's readiness. I trust, therefore, that you will continue to lead and support initiatives that drive improvements to the hiring process.


Kathleen A. Ott

Acting Deputy Under Secretary
Civilian Personnel Policy



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.

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

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MANDATORY SUPERVISORY FOCUS AREAS AND STANDARDS

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.

TIPS FOR ESTABLISHING PERFORMANCE PLANS

Performance Element Considerations

The following considerations should be made when developing performance elements:

- Performance elements should be developed by the supervisor and employee jointly, whenever possible.
- Set short-term goals with a long-term view. Performance elements are generally set for periods of a year or less.
- Identify critical issues and possible obstacles.
- Do not underestimate resource needs.
- Build in flexibility. Regular status updates and check-in meetings make it much easier to identify problems or shifts in priorities.

Generating Performance Elements

The following questions may help generate ideas for performance elements. Based on organizational goals:

- What impact should the employee's work have on the organization's mission?
- What can the employee do to improve the overall effectiveness of the organization?
- Has the employee suggested program or process changes that help the organization meet its objectives? If so, can the changes be completed during the appraisal cycle?
- What needs to be done to improve the quality of service? What refinements can be made to the organization's operations? What needs to be introduced or eliminated?
- What can be accomplished now that could not be achieved last year (due to increased resources, system modifications, changed priorities, updated skills, etc.)?
- What skills, processes, and products must be updated to meet demand?

Putting it All Together

When putting it all together, performance elements and standards clearly communicate specific expectations of job performance required to achieve mission success. Following are some additional points to consider when writing performance plans:

- Are the employee's performance goals aligned to the DoD and organizational mission and goals?
- Does the performance plan include critical elements? Are all the elements truly critical?
- Do the number of supervisory performance elements equal or exceed the number of non-supervisory (technical) performance elements? (*not applicable to code "4" supervisors in DCPDS*)
- Are the elements and standards clear and understandable?

TIPS FOR ESTABLISHING PERFORMANCE PLANS

SMART	Not so SMART
<ul style="list-style-type: none">• By February 28, 20XX, deliver three briefings to key stakeholders regarding the new security initiative within the unit, and prepare a detailed report on the feedback received.• Solicit updates and new material for the intranet site from within the Division and from key client groups. Develop new material and obtain approval by January 1, 20XX. Publish approved material by March 31, 20XX, and delete or archive material that is out of date.• Ensure mandatory training of all staff on the safe operation of equipment. Develop a tracking system to monitor staff completion of training and the potential need for refresher training in accordance with best practices.	<ul style="list-style-type: none">• Prepare security briefings.• Maintain the Division's intranet site.• Provide mandatory training on the safe operation of equipment.

PERFORMANCE STANDARDS FACT SHEET

SMART

TEAM

Measurable: The result of your performance standard is observable or verifiable through appropriate quantity, quality, resources, or time measurements.

Achievable: Your performance standard shows a clear line of sight between your organization's mission and goals and your work.

Relevant: Your performance standard is challenging yet attainable, the outcome is within your control, and the expected results are appropriate to your responsibilities, occupation, and grade.

Timed: Your job element identifies realistic time-frames for completion.

Evaluation: Your job element clarifies the criteria against which you will be evaluated and describes the expected and appropriate levels of effort, expertise, complexity, and independence for successful completion.

Alignment: Your job element is linked to your organization's mission and goals with a clear line of sight with what you achieve in your work.

Measurement: The result of your job element is observable or verifiable and includes appropriate quantity, quality, resources, or time measurements.

Effective performance standards clearly identify performance expectations so you and your rating official have a shared understanding of the criteria against which the rating official evaluates performance. The performance standards describe the differences between expected levels of performance based on criteria such as the amount of guidance needed, effectiveness in achieving the performance standard, contributions, ability to prioritize work, and professional conduct.

An effective performance standard addresses the critical nature of the work to be performed, those tasks which, if not performed in accordance with the standards, lead to mission failure. While your rating official is responsible for developing your performance standards, it is in your own best interest to be involved in the development of your elements so that you understand what is expected of you. Work with your rating official (in person, if possible) to establish your performance expectations and performance standards. Communication is the key to reaching a shared understanding. Once your performance standards are established, a higher level reviewer approves them.

Updating Your Performance Elements and Standards

Your performance standards may be updated and revised throughout the year to reflect changes in position, job responsibility, or work priorities. These changes most commonly occur during performance discussions, in which you and your rating official check for the continued relevance of each performance standard. Typically, performance standards are not changed 90 days prior to the end of the appraisal cycle so you have sufficient time to demonstrate accomplishment. Whenever new performance standards are added, they may need to be approved by a higher level reviewer, depending upon your local organization's policies.

EFFECTIVE PERFORMANCE ELEMENTS AND STANDARDS CHECKLIST

Are the standards challenging?

Does the work unit or employee need to exert a reasonable amount of effort to reach the Fully Successful performance level? Or do they merely need to show up to work in order to be considered Fully Successful? Research shows setting expectations that are too easy (or too hard) lead to low performance. Further, specific and challenging expectations result in higher performance. The most effective Fully Successful standards will find a balance between too hard and too easy.

Are the standards fair?

Are they comparable to expectations for other employees in similar positions? Applying different standards to employees doing the same work does not appear on its face to be fair or valid. Requiring higher-level management review of standards for similar work across an organization is one way of ensuring equity.

Are the standards applicable?

Can the supervisor/manager use the standards to effectively appraise employee performance? The standards should clearly describe the elements that the supervisor/manager will look for and how well those elements should be done (i.e., the quality, quantity, timeliness, and cost-effectiveness requirements). In addition, can the supervisor/manager effectively use the data collected through the measurement process? If monitoring performance on the element is too costly or time-consuming, the standard might need to be altered to include more manageable measures.

Will employees understand what is required?

Elements and their standards should be written clearly and be specific to the job. If the standards are generic, how will employees know what they have to do to demonstrate Fully Successful performance?

Are the elements and standards flexible?

Elements and standards can be modified during the appraisal period with a minimum 90 day period of performance required to be rated on the adjusted elements and standards. It is not recommended to modify elements/standards less than 90 days from the close of the appraisal cycle. This flexibility allows performance plans to be used as management tools to manage employee performance on a day-to-day and week-to-week basis rather than as a bothersome, meaningless paperwork exercise.

Is the Fully Successful standard surpassable?

Is it possible for an employee's performance to exceed the standard? By including Fully Successful standards that cannot be surpassed, the performance plan effectively eliminates the higher assessments.