



**FY 2018-FY 2019**  
**Department of Defense**  
**Civilian Human Capital**  
**Operating Plan**

**June 2018**

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## Message from the Civilian Human Capital Officer (CHCO)



Our Department of Defense (DoD) Human Capital Operating Plan (HCOP) lays out the civilian human capital strategies, initiatives, and measures that are necessary to support execution of the goals and objectives of the 2018 National Defense Strategy (NDS) to include the supplemental National Defense Business Operations Plan. The strategies identified in this plan were developed in collaboration with the Chief Management Officer (CMO), the Civilian Personnel Policy Council (CPPC), and other senior leaders and subject matter experts. The HCOP is not a static report. In contrast, it is an action plan that sets the direction for DoD to achieve better human capital management results.

We will track progress of human capital strategies through periodic HRStat reviews overseen and guided by the Civilian Personnel Policy Council (CPPC) and the Office of the CMO. By analyzing data and assessing results, we will be able to see whether our efforts are making a difference. When we accomplish near-term goals, the HCOP will point to the next steps and will reflect our growth and progress as we adopt lessons learned. As a dynamic tool, the HCOP will allow us to adapt to emerging missions and changing circumstances without losing sight of enduring goals. We will make adjustments to our plan based on our HRStat reviews and will not waste time on meaningless measures or plans that don't produce results.

DoD's civilian workforce performs critical functions that support readiness and contribute to the lethality of the operational forces. A well-managed civilian workforce is indispensable to accomplishing DoD's mission and goals. Through the HCOP and HRStat, we will commit to pursue a clear path designed to measure continuous progress toward achieving our strategic goals.

Many thanks to all who contributed to the initial development of the DoD HCOP for Fiscal Years 2018-2019. Your good work will be amplified by the continuing efforts invested by your colleagues and CPPC leaders as we all work together to increase the contribution of the DoD civilian workforce to readiness and lethality.

Sincerely,

*Anita K. Blair*

Anita K. Blair  
Deputy Assistant Secretary of Defense  
Civilian Personnel Policy

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# Overview

## Background and Purpose

The Government Performance and Results Act Modernization Act (GPRAMA) of 2010 requires agencies to indicate how Human Capital Management (HCM) will support strategic goals within their Agency Strategic Plan (ASP) and Agency Performance Plan (APP). DoD's strategy to improve performance, reform business operations, and provide a strong foundation to rebuild readiness, as well as the FY 2019 APP are contained in Fiscal Years (FY) 2018 – FY 2022 National Defense Business Operations Plan, a supplement to the 2018 National Defense Strategy (NDS). Establishment of an agency Human Capital Operating Plan (HCOP) is the most recent step in the Federal Government's ongoing effort to align and implement human capital strategy with overall performance strategy. It complements and builds upon prior efforts undertaken as part of the Chief Human Capital Officers (CHCO) Act of 2002, as well as GPRAMA and its predecessor legislation, ensuring that agencies' strategic human capital goals and strategies cascade to the operating or implementation level. Because of this alignment, additional strategic human capital plans are no longer necessary as part of strategic human capital planning efforts.

Increased visibility and improved integration of civilian strategic human capital planning within the National Defense Business Operations Plan (Business Operations Plan) is required in order to ensure enhancement of organizational outcomes by streamlining the strategic alignment of people with mission. The revised rule for Strategic HCM, as captured in OPM's updated 5 C.F.R. 250 Subpart B, reinforces this enhancement by replacing the previously required strategic human capital plan and DoD Strategic Workforce Plan (SWP) with the HCOP, which focuses on implementation of identified strategies.

The HCOP identifies civilian human capital strategies that support the strategic goals and objectives identified in the Business Operations Plan, and also serves as an implementation plan for those priorities. Identifying where priorities impact human capital is critical in ensuring that DoD addresses human capital needs and/or challenges, proactively capitalizes on opportunities, and addresses skills and/or competency gaps as it relates to ensuring priorities are met. In identifying priority strategies and supporting initiatives, the HCOP also ensures that human capital strategies align to the systems and standards defined in OPM's Human Capital Framework (HCF) methodology.

In addition to the Department's strategic priorities, the HCOP is also aligned with the 2018 Federal Workforce Priorities Report (FWPR) and Cross Agency Priority (CAP) Goal 3, Developing a Workforce for the 21<sup>st</sup> Century as cited in the 2018 President's Management Agenda. CAP Goal 3, Developing a Workforce for the 21<sup>st</sup> Century, will be accomplished by: (1) Improving employee performance management and engagement; (2) Reskilling and redeploying human capital resources; and (3) Enabling simple and strategic hiring practices. The 2018 FWPR identifies six major Government-wide workforce priorities captured under two main themes: (1) priorities in the context of workforce reshaping, and (2) priorities to help maximize employee performance. DoD selected two of the six priorities, which are discussed within this plan.

This plan presents detailed human capital actions to be executed, with intermediate goals and performance indicators, necessary in achieving the overarching strategies and priorities stated within the Business Operations Plan. It is developed under leadership guidance from DoD's Chief Human Capital Officer, in collaboration with DoD's senior management team, represented by Department principals.

The HCOP is designed to be a planning and implementation document, remaining active and maintained in real time. To achieve this, performance measures, supported through a HRStat-focused program, are reviewed and updated quarterly through coordination with strategy owners to ensure continued alignment with the most current APP, to include in-depth annual reviews. Results of quarterly reviews are provided to senior leadership through DoD's HRStat program in order to inform them on progress and effectiveness of actions, as well as to provide opportunity to discuss successes, challenges and risks, areas where leadership engagement may be required, and where resourcing requirements are necessary to ensure targets are met.

OPM HCOP Interim Guidance, dated June 2017, states that the HCOP must include the following:

1. Strategic Alignment (Shown in Table 2 - DoD Strategic Goals and Human Capital Strategies Alignment).
2. Action items to address skill gaps (Identified in Strategy 1.1, Strategy 1.2, and Strategy 3.3.)
3. Action items to address priorities from the OPM FWPR. For this version of the HCOP, DoD has selected:
  - Securing Technological Solutions for Human Capital Analysis (Strategy 3.2).
  - Expanding Employee Development Opportunities (Strategy 1.3 and Strategy 3.3).
4. Action items to address Human Capital Framework (HCF) Focus Areas (See HCF Implementation section of this report).

# Strategic Alignment of Human Capital Goals and Strategies

## DoD Strategic Goals and Objectives

OMB issues guidance on the requirement for federal agencies to develop a strategic plan. OMB Circular Number A-11 for 2017 states that the ASP should present the long-term objectives an agency hopes to accomplish at the beginning of each new term of an Administration by describing general and long-term goals, actions, and how the agency will deal with challenges and risks that may hinder achieving results. DoD’s 2018 NDS identifies agency strategic goals and objectives, which are shown below.

**Table 1 - FY 2018-2022 DoD Strategic Goals and Objectives (February 2018)**

<b>Strategic Goal 1 Rebuild Military Readiness as We Build a More Lethal Joint Force</b>	<b>Strategic Goal 2 Strengthen Alliances as We Attract New Partners</b>	<b>Strategic Goal 3 Reform the Department’s Business Practices for Greater Performance and Affordability</b>
<p><b>SO 1.1 – Restore Military Readiness to Build a More Lethal Force</b></p> <p><b>SO 1.2 - Lay the foundation for future readiness through recapitalization, innovation, and modernization</b></p> <p><b>SO 1.3 - Enhance information technology and cybersecurity capabilities</b></p> <p><b>SO 1.4 - Ensure the best intelligence, counter-intelligence, and security support to DoD operations</b></p> <p><b>SO 1.5 - Implement initiatives to recruit and retain the best total force to bolster capabilities and readiness</b></p>	<p><b>SO 2.1 – Reform the Security Cooperation Enterprise</b></p>	<p><b>SO 3.1 - Improve and strengthen business operations through a move to DoD-enterprise or shared services; reduce administrative and regulatory burden</b></p> <p><b>SO 3.2 – Optimize organizational structures</b></p> <p><b>SO 3.3 - Undergo an audit, and improve the quality of budgetary and financial information that is most valuable in managing the DoD</b></p>

## The Link Between Human Capital Strategies and the Human Capital Framework (HCF)

While identifying and aligning DoD’s highest civilian human capital priorities to the NDS goals, it is also important to ensure alignment to the four strategic human capital systems identified in OPM’s HCF methodology. This alignment ensures that there is full consideration in planning, implementing, and evaluating strategic HCM. These four systems include:

- **Strategic Planning and Alignment (plan):** A system that ensures agency human capital programs are aligned with agency mission, goals, and objectives through analysis, planning, investment, and measurement.
- **Talent Management (implement):** A system that promotes a high-performing workforce, identifies and closes skills gaps, and implements and maintains programs to attract, acquire, develop, promote, and retain quality and diverse talent.
- **Performance Culture (implement):** A system that engages, develops, and inspires a diverse, high-performing workforce by creating, implementing, and maintaining effective performance management strategies, practices, and activities that support mission objectives.
- **Evaluation (evaluate):** A system that contributes to agency performance by monitoring and evaluating outcomes of its HCM strategies, policies, programs, and activities.

Alignment with these systems when identifying priorities and strategies drives the agency's actions and decisions from overall mission to operational execution. Mission priorities and the workforce drive specific milestones and measures that DoD will use within this HCOP to track performance in HCM. Table 2 presents the alignment of human capital strategies to DoD's strategic goals. Strategies are complemented by initiatives and measures as part of this plan.

**Table 2 – DoD Strategic Goals and Human Capital Strategies Alignment**

	<b>Strategic Goal 1: Rebuild Military Readiness as We Build a More Lethal Joint Force</b>	<b>Strategic Goal 2: Strengthen Alliances as We Attract New Partners</b>	<b>Strategic Goal 3: Reform the Department’s Business Practices for Greater Performance and Affordability</b>
<b>Strategic Planning &amp; Alignment</b>	<b>1.1. Identify and Strengthen Mission Critical Occupations (MCOs) Aligned with Strategic Priorities (CAP Goal 3 – Reskill and Redeploy Human Capital Resources)</b>		<b>3.1. Strengthen Human Capital Strategic Partnerships to Enhance Civilian Workforce Management and Improve HR Customer Service (CAP Goal 3 – Enabler)</b>
<b>Talent Management</b>	<b>1.2. Recruit and Retain a Highly Skilled and Agile Civilian Workforce (CAP Goal 3 – Simple and Strategic Hiring)</b>  <b>1.3. Improve and Sustain Civilian Leadership Development (CAP Goal 3 – Continuous Learning)</b>  <b>1.4. Improve Civilian Workforce Hiring Practices (CAP Goal 3 – Simple and Strategic Hiring)</b>	<b>2.1. Build and Strengthen the Security Cooperation Workforce (CAP Goal 3 – Reskill and Redeploy Human Capital Resources)</b>  <b>2.2. Enhance the DoD Expeditionary Civilian (DoD-EC) program (CAP Goal 3 – Reskill and Redeploy Human Capital Resources)</b>	<b>3.2. Invest in Civilian HR Management IT Redesign (CAP Goal 3 – Enabler)</b>  <b>3.3. Improve HR Capabilities by Strengthening the Competencies and Talent of the HR Workforce (CAP Goal 3 – Reskill and Redeploy Human Capital Resources)</b>
<b>Performance Culture</b>	<b>1.5. Maximize Employee Performance (CAP Goal 3 – Improve Employee Performance Management and Engagement)</b>		
<b>Evaluation</b>	<b>1.6. Institute the Human Capital Operating Plan (HCOP) and HRStat Program (CAP Goal 3 – Enabler)</b>		<b>3.4. Establish a DoD Enterprise Human Capital Management (HCM) Accountability Program (CAP Goal 3 – Enabler)</b>

## Strategic Goal 1: Rebuild Military Readiness as We Build a More Lethal Joint Force

On 21 July 2017, the Secretary of Defense stated how DoD would support the President’s plan to build a larger, more capable, and more lethal joint force. His memorandum entitled “Administrative and Personnel Policies to Enhance Readiness and Lethality” directed a review of existing policies to determine whether changes to policies are necessary in meeting the President’s goal.

Within DoD, the term “readiness” occurs when the Department has what it needs to accomplish its mission. The term “lethality” occurs when the Department is confident that it is capable beyond ready and can ensure victory will occur. The Department cannot achieve either of these without the critical role of the civilian. Civilians not only enable the force to concentrate on their warfighter role, but also bring specific capabilities that the military may not have which are necessary to win. Civilians allow the military to execute its role to “fight and win wars” through their continuity, unique skills and competencies, and dedicated commitment to the mission. They free the force to fight. From depots to ship yards to child care centers, whether operating shoulder-to-shoulder with the military, or whether executing mission in inherently governmental roles that free up military assets, our civilians are always on demand and deliver on time and on target.

One of the areas identified in the Secretary’s July 2017 memorandum includes reviewing hiring practices for the civilian workforce, an area under constant scrutiny and frequently reported as untimely and unresponsive to need. Also critical to mission readiness is the availability and capability of Mission Critical Occupations (MCOs) and functions that are vital in meeting the highest priorities of the Department. National Defense Authorization Act (NDAA) for FY 2017 identified several critical workforce capabilities, to include cyber, intelligence, security cooperation and financial management. To support these expectations, the Department must ensure that gaps in skills and competencies are addressed in these areas, as well as having appropriate hiring authorities in place. Additionally, maintaining skills through training and education, holding employees accountable for their performance, and developing our leaders and managers for today and tomorrow must also occur.



Targeted civilian human capital strategies that support DoD’s Strategic Goal 1 are described in this section to include initiatives and metrics. These strategies include:

- 1.1. Identify and strengthen MCOs aligned with strategic priorities. (HCF: Strategic Alignment)
- 1.2. Recruit and retain a highly skilled and agile civilian workforce. (HCF: Talent Management)
- 1.3. Improve and Sustain civilian leadership development. (HCF: Talent Management)
- 1.4. Improve civilian workforce hiring practices. (HCF: Talent Management)
- 1.5. Maximize Employee Performance. (HCF: Performance Culture)
- 1.6. Institute the HCOP and HRStat program. (HCF: Evaluation)

## Strategy 1.1 Identify and strengthen Mission Critical Occupations (MCOs) aligned with strategic priorities (HCF: Strategic Alignment)

Overview				
DoD recognizes the need to reestablish a methodology and process to identify MCOs that align with mission priorities to include initiatives to close skills (staffing and/or competency) gaps. DoD remains committed to further evolving its competency management program to contribute across the spectrum of Human Resources (HR) life cycle activities. As DoD continues to compete with the private sector, an analytically based understanding of needed skills and talents will strengthen workforce planning efforts necessary to meet DoD's priorities.				
<b>Initiative 1.1.1. Establish and implement DoD policy and procedures for determining MCOs to ensure that proper occupations receive priority attention to achieve DoD strategic goals and objectives.</b>				
<b>Milestones</b>	1.1.1.1. Modify current methodology/process for identifying DoD MCOs and high risk MCOs.	Dec 2017		
	1.1.1.2. Develop model to identify high risk MCOs.	Dec 2017		
	1.1.1.3. Beta test process and model with Logistics Functional Community and Components.	May 2018		
	1.1.1.4. Initiate Implementation of new MCO validation process.	Jun 2018		
	1.1.1.5. Socialize model and beta test efforts with OPM.	Dec 2018		
<b>Initiative 1.1.2. Incorporate validated competency models for strategic priority occupations into USA Staffing to ensure hiring of candidates that possess the appropriate competencies to achieve the DoD mission and strategic priorities.</b>				
<b>Milestones</b>	1.1.2.1. Develop and implement a communication strategy to increase use of competency models in USA Staffing.	Jan 2018		
	1.1.2.2. Confirm list of competency models for occupations identified as MCOs.	Dec 2018		
	1.1.2.3. Develop FY 18/19 competency model schedule (new models and updates) based on DoD priorities.	TBD		
	1.1.2.4. Submit new MCO competency models for upload into USA Staffing and make available to OFCMs and HR Hiring Managers.	TBD		
<b>Source</b>	DCPAS Strategic Management Plan (FY17-22) (Strategy 1.2 and 1.3); DHRA Strategic Management Plan (Apr 2017) (Goal 1 and 2).			
<b>Owner</b>	DCPAS P&A; Functional Communities representing priority workforce			
Metric		Baseline FY17	Target FY18	Target FY19
1. <b><u>MCO Milestone Completion Rate.</u></b> Total number of completed milestones divided by total number of milestones.		(0 of 5) 0%	(4 of 5) 80%	(5 of 5) 100%
2. <b><u>MCO Competency Models Developed.</u></b> Total number of MCO competency models developed, divided by total number of MCOs. Note: Baseline is subject to change pending updated MCO model.		(27 of 27) 100%	(27 of 27) 100%	(27 of 27) 100%
3. <b><u>MCO Validated Competency Models.</u></b> Total number of validated competency models divided by the total number of MCOs. Baseline subject to change pending updated MCO model.		(20 of 27) 74%	(25 of 27) 93%	(25 of 27) 93%

4. <b><u>Validated Competency Models Available in USA Staffing.</u></b> Total number of validated competency models available in USA Staffing divided by the total number of MCOs.	(20 of 27) 74%	(25 of 27) 93%	(25 of 27) 93%
5. <b><u>Percent of USA Staffing MCO Selections Utilizing DCAT Validated Competency Models.</u></b> Total number of USA Staffing MCO selections using DCAT validated competency models divided by total number of USA Staffing MCO selections.	16%	Increase	Increase

## Strategy 1.2 Recruit and retain a highly skilled and agile civilian workforce (HCF: Talent Management)

Overview		
<p>The current DoD Business Operating Plan identifies Information Technology/ Cyber, Intelligence/Counter-Intelligence, Security and Financial Management as priority areas in achieving strategic objectives. This strategy addresses the utilization of available tools and initiatives to best recruit and retain occupations in support of these priorities. In an effort to recruit and retain a highly skilled and agile civilian workforce, DoD must focus on retention and recruitment strategies for priority occupations, to include strategic workforce planning, skills gap closure strategies and competency/proficiency assessments. Critical to achieving this effort is the effective and efficient use of functional communities and clearly establishing their role in meeting the expectations of this strategy.</p>		
<p><b>Initiative 1.2.1. Conduct strategic workforce planning for functional communities with priority occupations to identify staffing and competency gaps and develop human capital strategies that ensure a ready and reliable civilian workforce.</b></p>		
<b>Milestones</b>	1.2.1.1. Partner with functional communities to identify staffing and/or competency gaps for strategic priority civilian occupations.	Apr 2018
	1.2.1.2. Begin development and/or updates to Functional Community SWPs that include strategies for improving staffing and competency gaps and recruitment and retention (Information Technology/Cyber, Intelligence/Counter-Intelligence, Security, and Financial Management).	Sep 2018
	1.2.1.3. Implement, monitor, and evaluate progress of SWP strategies for high priority occupations (as they are completed).	Oct 2018
<b>Source</b>	DCPAS Strategic Management Plan	
<b>Owner</b>	DCPAS P&A (with OFCM collaboration)	
<p><b>Initiative 1.2.2. Establish &amp; implement skills gap closure strategies for MCOs and priority occupations (to include DoD-wide, and functional community/component-identified occupations).</b></p>		
<b>Milestones</b>	1.2.2.1. Identify current and ongoing skills gap closure efforts being conducted at the DoD enterprise level.	Jan 2018
	1.2.2.2. Begin establishing mission critical list of occupations from Functional Communities and Components based on revised Department guidance.	Jul 2018
	1.2.2.3. Identify priority list of occupational series that require skills gap analysis, based on results of MCO model validation.	Apr 2018
	1.2.2.4. Identify priority list of occupational series that require skills gap strategies, based on results from previous milestone and completed initial strategic workforce planning analyses.	Aug 2018

	1.2.2.5. Develop method to monitor progress of skills gap closure strategies, to include development, implementation, and outcomes/results.	Jan 2019		
<b>Source</b>	Business Operations Plan; DCPAS Strategic Management Plan			
<b>Owner</b>	DCPAS P&A and E&C (with Component and OFCM collaboration)			
<b>Initiative 1.2.3. Establish Functional Community Maturity Model (FCMM) in order to enhance the effectiveness of Functional Community support for the Department.</b>				
<b>Milestones</b>	1.2.3.1. Identify trial functional communities to use as prototypes for model development (Intelligence, Cyber, Medical, and HR).	Nov 2017		
	1.2.3.2. Commence design of FCMM incorporating lessons learned and best practices in Acquisition and Financial Management Functional Communities.	Jan 2018		
	1.2.3.3. Complete development of initial FCMM requirements and methodology for conducting pilot study.	Apr 2018		
	1.2.3.4. Initiate pilot projects to test the FCMM with trial Functional Communities	Jul 2018		
	1.2.3.5. Assess pilot results.	Nov 2018		
	1.2.3.6. Incorporate lessons learned	Dec 2018		
	1.2.3.7. Implement FCMM across all functional communities.	Jan 2019		
	1.2.3.8. Asses all FCs	Jul 2019		
<b>Source</b>	Business Operations Plan; DCPAS Strategic Management Plan			
<b>Owner</b>	DCPAS P&A and E&C (with Component and OFCM collaboration)			
<b>Metric</b>		<b>Baseline FY17</b>	<b>Target FY18</b>	<b>Target FY19</b>
<b>1. Priority functional communities with current SWPs.</b> Total number of priority FCs with current SWPs divided by total number of priority FCs.		(0 of 4) 0%	TBD	TBD
<b>2. a. Staffing Gap (IT FC).</b> DCPDS quarter end strength minus DMDC master billets for Information Technology FC occupation series divided by end strength.		-7.5%	TBD	TBD
<b>2. b. Staffing Gap (Intel FC).</b> DCPDS quarter end strength minus DMDC master billets for Intel FC occupation series divided by end strength.		-18.2%	TBD	TBD
<b>2. c. Staffing Gap (Security).</b> DCPDS quarter end strength minus DMDC master billets for priority Security FC occupational series (0080) divided by end strength.		-0.1%	TBD	TBD
<b>2. d. Staffing Gap (FM).</b> DCPDS quarter end strength minus DMDC master billets for priority Financial Management FC occupation series (0501, 0510, 0511, and 0560) divided by end strength.		-9.3%	TBD	TBD
<b>3. a. Competency Gap (IT FC).</b> Percent of priority occupations with at least one competency/proficiency gap identified (based on DCAT model).		100%	TBD	TBD
<b>3. b. Competency Gap (Intel FC).</b> Percent of priority occupations with at least one competency/proficiency cap identified (based on DCAT model).		100%	TBD	TBD

<b>3. c. Competency Gap (Security).</b> Percent of priority occupations with at least one competency/proficiency gap identified (based on DCAT model).	100%	TBD	TBD
<b>3. d. Competency Gap (FM).</b> Percent of priority occupations with at least one Competency/Proficiency Gap identified (based on DCAT model).	100%	TBD	TBD
<b>4. Perception of Workforce Knowledge &amp; Skills.</b> FEVS Positive Response rate for Question 29 - The workforce has the job relevant knowledge and skills necessary to accomplish organizational goals.	71.9%	TBD	TBD
<b>5. Perception of Ability to Recruit the Right People with Right Skills.</b> FEVS Positive Response rate for Question 21 - My work unit is able to recruit people with the right skills.	42.4%	TBD	TBD
<b>6. Perception of Work Unit Skill Improvement (in last year).</b> FEVS Positive Response rate for Question 27 - The skill level in my work unit has improved in the past year.	56.3%	TBD	TBD

## Strategy 1.3 Improve and Sustain Civilian Leadership Development (LD) (HCF: Talent Management)

Overview			
DoD must ensure that it provides a talented leadership pipeline to secure intellectual capital by investing and building a talent pool with requisite leadership skills needed to drive results in functional areas, business units and across the enterprise. DoD intends to institutionalize an integrated HR lifecycle to manage the 21st Century DoD civilian workforce through education, training, and leadership and professional development. **This strategy and its initiatives link to OPM Federal Workforce Priority “Expanding employee development opportunities.”			
<b>Initiative 1.3.1. Develop and implement an evaluation system to determine the effectiveness of the Defense Leadership Development Program (DLDP) in order to enhance the leadership development program and maximize employee performance.</b>			
<b>Milestones</b>	1.3.1.1. Implement evaluation program Levels 1 thru 3 for DLDP.	Dec 2017	
	1.3.1.2. Develop communications strategy to inform and engage stakeholders in the DLDP	Jan 2018	
	1.3.1.3. Implement evaluation program Level 4 for DLDP.	Dec 2018	
	1.3.1.4. Monitor and evaluate use of DLDP evaluation criteria, data, and tools; modify where necessary.	Quarterly	
<b>Source</b>	DCPAS Strategic Management Plan (Goal 4.2)		
<b>Owner</b>	DCPAS Talent Development		
Metric	Baseline FY17	Target FY18	Target FY19
<b>1. DLDP Milestone Completion Rate.</b> Total number of completed milestones divided by total number of milestones.	(0 of 3) 0%	(2 of 3) 66%	(3 of 3) 100%
<b>2. Overall DoD-level LDP Rating.</b> Satisfaction or quality rating from evaluation instrument.	80%	83%	85%

<b>3. Number of DoD-level LDP Participants.</b> Total number of employees who participate and complete the DoD LDP each year Number of DoD LDP Participants.	282	350	400
<b>4. Number of Component-Level LDP Participants.</b> Total number of employees who participate in the program each year to include component programs.	TBD	TBD	TBD
<b>5. DoD-level LDP Participant Application of Learning Rating.</b> Application of program learning: Kirkpatrick's Level 3 (Behavior) response from the cohort members to determine degree to which individuals applied what they learned in the program to their respective organizational environments (from evaluation instrument).	87%	89%	91%
<b>6. DoD-level Leadership Participation Promotion Rate (Future metric).</b> Total number of DoD-level leadership participants promoted within 3 years after LD completion divided by the total number of participants for the time period.	TBD	TBD	TBD

## Strategy 1.4 Improve civilian workforce hiring practices (HCF: Talent Management)

Overview		
Directed by Secretary of Defense guidance, DoD will analyze current civilian hiring authorities to identify gaps and overlaps and make recommendations for changes to enhance DoD's ability to acquire talent. This will include the development of a process implementation model to document the full spectrum of policy implementation, including authorization, drafting, coordination, issuance, post-issuance accessibility, training on use, monitoring of use, evaluation, and updating of policies. In addition, DoD continues to focus on improvements to its civilian hiring activities, specifically to address both time and quality of hires. This strategy directly supports the National Defense Business Operations Plan, Priority Goal 1.5.2 (Improve recruitment and retention of the civilian workforce); therefore, a number of performance metrics associated with this strategy are also included in the APP, and are identified with an asterisk*.		
<b>Initiative 1.4.1 Review and analyze the current inventory of personnel authorities and flexibilities to ensure DoD policies are utilized and effective in meeting DoD workforce requirements.</b>		
<b>Milestones</b>	1.4.1.1 Identify which authorities will be reviewed. Categorize policies based on parameters, flexibilities, and features.	Oct 2017
	1.4.1.2 Identify policy indicators (features/flexibilities) to determine value. Create a database of indicators.	Dec 2017
	1.4.1.3 Compare indicators. Identify gaps and inconsistencies. Determine and evaluate why there are differences (root causes). Assess impacts on implementation and operations. Identify opportunities for improvement or where efficiencies can be gained.	Mar 2018
	1.4.1.4 Formulate concepts for improving content, execution, and implementation of policies. Triage improvement ideas: try now, try later, or do not bother. Develop plans to improve now and later.	Jul 2018
	1.4.1.5 Validate query logic to ensure data collection crosswalks with identified authorities for continuing data analyses.	Sep 2018

	1.4.1.6 Begin assessment of authority usage (start with Q3 data)	Oct 2018
<b>Initiative 1.4.2 Recommend HR Policy Process Model in order to streamline the fielding of HR policies.</b>		
<b>Milestones</b>	1.4.2.1 Develop “As-is” hiring policy process model to document the full spectrum of policy implementation, including authorization, drafting, coordination, and issuance, as well as post-issuance accessibility, training on use, monitoring of use, evaluation, and updating of policies.	Oct 2017
	1.4.2.2 Assess opportunities for improvements; identify options and pros and cons of each and select promising initiatives and establish goals and measures.	Nov 2017
	1.4.2.3 Develop/Implement “To Be” hiring policy process model.	Sep 2018
	1.4.2.4 Monitor proposed process model through periodic data-driven performance reviews to 1) assess how well policy products serve the needs of customers, and 2) learn how policies and practices can be improved.	Oct 2018
	1.4.2.5 Compare actual and desired results and evaluate benefits (tangible/intangible) of changing processes to reach desired end state.	Jun 2019
	1.4.2.6 Evaluate revised policy implementation process and recommend design control mechanisms to address issues if necessary.	Aug 2019
	<b>Initiative 1.4.3 Develop Component-level hiring improvement action plans targeted to improve both time and quality of civilian hiring.</b>	
<b>Milestones</b>	1.4.3.1 Develop action plan approach and content outline. Determine common milestones/metrics, where warranted.	Jan 2018
	1.4.3.2 Require Components to submit action plans, including appropriate targets and goals (both general and for specified priority occupations) to improve time and quality of hire. (Required by DoD APP).	Mar 2018
	1.4.3.3 Oversee Components’ execution of plans, including milestones and measures (quarterly progress/performance reviews). (Required by DoD APP)	Apr 2018
	1.4.3.4 Establish hiring improvement forum for discussion, best business practice sharing, and collaboration of approaches.	Jun 2018
	1.4.3.5 Develop draft manager/customer satisfaction survey tool for leadership consideration.	Sep 2018
	1.4.3.6 Establish quality measures for manager/customer satisfaction with hiring process. (Required by DoD APP).	Jun 2019
	1.4.3.7 Coordinate customer satisfaction tracking program for implementation.	Aug 2019
	1.4.3.8 Implement customer satisfaction tracking program. (Required by DoD APP).	Oct 2019
	1.4.3.9 Conduct quarterly performance reviews of Components’ hiring efficiency (T2H) and effectiveness (satisfaction survey). (Required by DoD APP).	Oct 2019
<b>Source</b>	Terms of Reference for the Administrative and Personnel Policies to Enhance Readiness and Lethality Civilian Personnel Policy (Talent Management) Working Group	
<b>Owner</b>	Civilian Personnel Policy (CPP), DCPAS	

Metric	Baseline FY17	Target FY18	Target FY19
1. Hiring <b><u>Authority Review Milestone Completion Rate</u></b> . Total number of completed milestones divided by total number of milestones due in fiscal year	N/A	3 of 6 (50%)	100%
2. <b><u>HR Policy Process Milestone Completion Rate</u></b> . Total number of completed milestones divided by total number of milestones due in fiscal year.	N/A	83%	100%
3. <b><u>Utilization of Authorities for Priority Occupations (Future metric)</u></b> .	TBD	TBD	TBD
<b><u>Time-to-Hire for Priority Occupation Recruit Actions Utilizing Direct and Expedited Hiring Authorities (Future metric)</u></b> .	TBD	TBD	TBD
5. <b><u>DoD Average Time-to-Hire</u></b> - Average number of days to hire APF civilian employees.	100	85	85
6. <b><u>Component Hiring Improvement Plan Milestone Completion Rate</u></b> - Total number of completed milestones divided by total number of milestones due in fiscal year (Business Operating Plan metric)*	N/A	71%	100%
7a. <b><u>Percent of Components that submit “annual” hiring improvement action plans</u></b> . The total number of components (including 4 <sup>th</sup> Estate) that submit annual hiring plans divided by the total number of components ( Business Operating Plan metric)*	TBD	TBD	TBD
7b. <b><u>Percent of AF Hiring Action Plan Milestones and Measures Met</u></b> . Quarterly progress divided by performance reviews ( Business Operating Plan metric)*	TBD	TBD	TBD
7c. <b><u>Percent of Navy Hiring Action Plan Milestones and Measures Met</u></b> . Quarterly progress divided by performance reviews.( Business Operating Plan metric)*	TBD	TBD	TBD
7d. <b><u>Percent of Army Hiring Action Plan Milestones and Measures Met</u></b> . Quarterly progress divided by performance reviews ( Business Operating Plan metric)*	TBD	TBD	TBD
7e. <b><u>Percent of 4th Estate Hiring Action Plan Milestones and Measures Met</u></b> . Quarterly progress divided by performance reviews ( Business Operating Plan metric)*	TBD	TBD	TBD
8a. <b><u>Average Time-To-Hire (IT FC)</u></b> . Average number of days to hire IT FC priority occupations (from RPA creation to EOD)	107	102	96
8b. <b><u>Average Time-To-Hire (Intel FC)</u></b> . Average number of days to hire Intelligence/Counter-intelligence FC priority occupations (from RPA creation to EOD)	118	112	107
8c. <b><u>Average Time-To-Hire (Security)</u></b> . Average number of days to hire Security FC priority occupations (0080) (from RPA creation to EOD)	104	100	95
8d. <b><u>Average Time-To-Hire (FM)</u></b> . Average number of days to hire FM FC priority occupations (0560, 0511, 0510 and 0501) (from RPA creation to EOD)	84	85	85
8e. <b><u>AF Average Time-To-Hire</u></b> . (Business Operating Plan metric)*	107	96	85
8f. <b><u>Navy Average Time-To-Hire</u></b> . ( Business Operating Plan metric)*	93	89	85
8g. <b><u>Army Average Time-To-Hire</u></b> . ( Business Operating Plan metric)*	110	98	85

8h. <b><u>4th Estate Average Time-To-Hire.</u></b> ( Business Operating Plan metric)*	81	85	85
9a. <b><u>DoD Hiring Customer Satisfaction Rate (Future metric).</u></b> (Business Operating Plan metric)*	TBD	TBD	TBD
9b. <b><u>AF Hiring Customer Satisfaction Rate (Future metric).</u></b> (Business Operating Plan metric)*	TBD	TBD	TBD
9c. <b><u>Navy Customer Satisfaction Rate (Future metric).</u></b> (Business Operating Plan metric)*	TBD	TBD	TBD
9d. <b><u>Army Customer Satisfaction Rate (Future metric).</u></b> (Business Operating Plan metric)*	TBD	TBD	TBD
9e. <b><u>4th Estate Customer Satisfaction Rate (Future metric).</u></b> (Business Operating Plan metric)*	TBD	TBD	TBD

## Strategy 1.5 Maximize Employee Performance (HCF: Performance Culture)

Overview		
DoD’s new performance management program, required by the National Defense Authorization Act (NDAA) for FY 2010, Public Law No. 111-84, places greater emphasis upon employee/supervisor communication and accountability, increased employee engagement, transparent processes, and the relationship between recognizing and rewarding high performance. These efforts align with DoD’s Rationalization Plan submitted to OMB as response to M-17-22. **This strategy and its initiatives support OPM Federal Workforce Priority “Expanding employee development opportunities.”		
<b>Initiative 1.5.1. Develop, publish, and implement policy, resources, and tools to maximize employee performance and retention.</b>		
<b>Milestones</b>	1.5.1.1 Publish DoD guidance regarding WGI delays resulting from placement of employees on a Performance Improvement Plan.	Jun 2018
	1.5.1.2 Publish revised framework and formal DoD policy on the mandatory Managerial and Supervisory Training Program.	May 2019
	1.5.1.3 Publish DoDI 1400.25, Volume 921, “Senior Professional Performance Management and Compensation”.	Dec 2019
<b>Initiative 1.5.2 Evaluate and assess performance management factors to improve the Performance Management System and Maximize Employee Performance.</b>		
<b>Milestones</b>	1.5.2.1 Complete RAND study to assess the feasibility of DoD-wide support provided to managers and supervisors on issues related to performance management and conduct.	Dec 2017
	1.5.2.2 Conduct DPMAP Evaluation	Dec 2018
	1.5.2.3 Assess use of “Terminations During Probationary Period” pre and post 2 year probationary policy	Dec 2018
	1.5.2.4 Secure resources to conduct a study on the use of the 2 year probationary period and receive results	Jul 2019

	1.5.2.5 Evaluate the effectiveness of alternative DoD performance programs to include the National Security Agency (NSA) Pilot (Talent, Evaluation, and Advancement (TEA) system) to identify best practices for potential utilization.	Sep 2019
<b>Initiative 1.5.3 Increase awareness and communication of Defense Performance Management Assessment Program (DPMAP) and performance roles and responsibilities to meet Congressional requirement for a transparent and timely performance management system.</b>		
<b>Milestones</b>	1.5.3.1 Complete Department-wide training for DPMAP, including how well supervisors communicate expectations, provide feedback, and ensure development of their subordinates.	Dec 2018
	1.5.3.2 Complete Department-wide implementation of DPMAP.	Dec 2018
<b>Initiative 1.5.4 Improve efficiency of the formal and informal complaint processes to minimize the number and cost of formal complaints.</b>		
<b>Milestones</b>	1.5.4.1 Complete review of the Compressed, Orderly, Rapid and Equitable (CORE) Equal Employment Opportunity Complaints Resolution Air Force pilot program and provide recommendations regarding full implementation to Department leadership.	Dec 2018
	1.5.4.2 Develop and implement a communication strategy for increasing the awareness and use of the Alternate Dispute Resolution program.	Dec 2018
<b>Initiative 1.5.5 Establish and implement a DoD Work Life DoDI to attract high performers and increase employee engagement.</b>		
<b>Milestones</b>	1.5.5.1 Research and obtain copies of other Federal agencies' Work Life policies and programs.	Oct 2017
	1.5.5.2 Complete draft of DoD Work Life policy with Components and Agencies.	Apr 2018
	1.5.5.3 Coordinate and publish Work/Life DoDI.	Nov 2018
	1.5.5.4 Develop and implement a Work Life strategic communication/marketing.	Nov 2018
	1.5.5.5 Develop DoD Work Life, logo and slogan.	Nov 2018
	1.5.5.6 Develop strategic partnerships with external agencies to support the DoD Work Life Program mission.	Jan 2019
<b>Initiative 1.5.6 Develop, Implement, and Monitor DoD Reduction in Force (RIF) Policy and Procedures to minimize the risk of losing high performers in accordance with the NDAA.</b>		
<b>Milestones</b>	1.5.6.1 Identify existing policies related to reduction in force that require necessary revisions, with the goals to update and publish revised DoDI 1400.25, Volume 351.	Oct 2018
	1.5.6.2 Implement and sustain the new reduction in force procedures with a fully designed, developed, and tested system (Defense Civilian Personnel Data System (DCPDS) and the reduction in force automated processing tool (DCPDS RIF Tool).	Jun 2018
	1.5.6.3 Provide required expertise for effective implementation of the new reduction in force policy by training DoD HR practitioners. The training for this effort was delivered in a train-the-trainer approach, with DoD delivering the training to DoD Component trainers for delivery to Component HR personnel.	Dec 2018

	1.5.6.4 Monitor and report the number of Reduction in Force (RIF) actions to include the performance rating and tenure of RIF actions.	Dec 2019		
<b>Source</b>	Agency Reform Plan “Plan to Maximize Employee Performance,” 30 Jun 17 (Appendix A)			
<b>Owner</b>	DCPAS NAF & Wage, LER, IRD			
<b>Metric</b>		<b>Baseline FY17</b>	<b>Target FY18</b>	<b>Target FY19</b>
<b>1. Performance Plan Compliance Rate*</b> .Percent of DPMAP performance plans established within 30 days of the performance cycle start.		N/A	80%	95%
<b>2. Performance Discussions Compliance Rate*</b> . Percent of documented mid-cycle performance discussions.		N/A	85%	95%
<b>3. Performance Feedback Index.</b> Average positive satisfaction rate for the following FEVS questions: Q44: Discussions with my supervisor about my performance are worthwhile. Q46: My supervisor provides me with constructive suggestions to improve my job performance. Q50: In the last six months, my supervisor has talked with me about my performance.		64%	TBD	TBD
<b>4. Performance Rating Index.</b> Average positive satisfaction rate for the following FEVS questions: Q15: My performance appraisal is a fair reflection of my performance. Q16: I am held accountable for achieving results. Q19: In my most recent performance appraisal, I understood what I had to do to be rated at the next performance level (for example, Fully Successful, Outstanding).		71%	TBD	TBD
<b>5. Performance Recognition and Reward Satisfaction Index.</b> Average positive satisfaction rate for the following FEVS questions: Q22: Promotions in my work unit are based on merit. Q23: In my work unit, steps are taken to deal with a poor performer who cannot or will not improve. Q24: In my work unit, differences in performance are recognized in a meaningful way. Q25: Awards in my work unit depend on how well employees perform their jobs.		38%	TBD	TBD
<b>6. DPMAP Conversion Rate.</b> Percent of eligible employees converted to DPMAP.		47%	85%	100%
<b>7. DPMAP Employee Training Completion Rate.</b> Percent of employees who completed DPMAP training		50%	90%	100%
<b>8. Supervisor/Manager Training Completion Rate.</b> Percent of supervisors who complete DoD managerial and supervisory training program.		TBD	TBD	TBD
<b>9. ADR Complaints Resolved Rate.</b> Total number of ADR complaints resolved by ADR divided by the total number of ADRs.		50%	55%	TBD
<b>10. DCPDS Telework Eligible Rate.</b> Total number of APF employees who are coded as telework eligible (both the employee and the position are coded as such) divided by total number of APF employees.		437.1%	37%	37%
<b>11. DFAS Telework Participation Rate</b> - Total number of “Routine” APF telework participants divided by total number of APF employees.		7.9%	8.7%	9.5%
<b>12. Retention Rate by Telework Usage (Future metric).</b>		TBD	TBD	TBD

\* Percentages exclude specially-situated employees (e.g. those delayed for bargaining or implementation schedule changes, medical or military leave, etc.). Due to phased implementation, percentages will not stabilize until the 2019-2020 performance cycle.

## Strategy 1.6 Institute the Human Capital Operating Plan (HCOP) and HRStat Program (HCF: Evaluation Systems)

Overview		
<p>The development and implementation of the HCOP and HRStat is a key requirement for Strategic HCM under 5 CFR 250(B) and is directly aligned with the DoD Business Operating Plan. The HCOP includes specific details for successfully implementing human capital strategies to include initiatives, milestones and measures. Developing and implementing the HCOP ensures DoD incorporates human capital strategies in how it achieves its strategic goals and priorities. The design and implementation of HRStat, which complements the HCOP, is to identify, measure, and analyze human capital data in order to inform senior leaders of the impact of those initiatives supporting the Agency’s priorities. These results also advise senior leaders on improvements to human capital outcomes.</p>		
<p><b>Initiative 1.6.1 Develop and Implement FY 18-19 Human Capital Operating Plan to strengthen DoD’s ability to achieve agency goals and objectives in accordance with OMB and OPM requirements.</b></p>		
Milestones	1.6.1.1 Complete Draft HCOP.	Nov 2017
	1.6.1.2 Socialize plan with Components (CPPC); seek endorsement.	Nov 2017
	1.6.1.3 Recommend human capital strategies for inclusion in the Business Operations Plan.	Nov 2017
	1.6.1.4 Brief DHRB.	Nov 2017
	1.6.1.5 Submit “Draft” HCOP to OPM through the max.gov portal.	Nov 2017
	1.6.1.6 Draft HCOP Strategic Communication Plan.	Jan 2018
	1.6.1.7 Publish Final FY18-19 HCOP.	Feb 2018
	1.6.1.8 Develop and initiate HCOP Quarterly Review procedures.	Mar 2018
	1.6.1.9 Implement HCOP Strategic Communication Plan.	Mar 2018
	1.6.1.10. Establish and initiate HCOP Annual Review and Update Process	Oct 2018
	1.6.1.11 Complete Draft Annual Revision of HCOP.	Jan 2019
	1.6.1.12. Incorporate OPM HCR recommendations into HCOP & HRStat Process	Feb 2019
<p><b>Initiative 1.6.2 Develop and Implement HRStat procedures and system to monitor strategic progress and increase leadership communication and support in accordance with OMB and OPM requirements.</b></p>		
Milestones	1.6.2.1 Complete draft metrics for current strategies.	Nov 2017
	1.6.2.2 Complete HRStat Maturity Model.	Dec 2017
	1.6.2.3 Brief CPPC on HRStat methodology and baseline.	Dec 2017
	1.6.2.4 Complete draft metrics lexicon (metrics dictionary).	Jan 2018
	1.6.2.5 Draft HRStat process (Metric to Report).	Jan 2018
	1.6.2.6 Implement Quarterly Review process.	Jan 2018
	1.6.2.7 Implement OPM’s Updated HRStat Maturity Model.	Oct 2018
<b>Source</b>	DCPAS Strategic Management Plan (FY17-22) (Goal 3, 3.1)	
<b>Owner</b>	CPP, DCPAS, Planning and Accountability	

Metric	Baseline FY17	Target FY18	Target FY19
<b>1. HCOP Milestone Completion Rate</b> - Total number of milestones completed divided by the total number of milestones.	(0 of 10) 0%	(9 of 12) 75%	(12 of 12) 100%
<b>2. HRStat Maturity Model Milestone Completion rate</b> - Total number of milestones completed divided by the total number of milestones.	(0 of 7) 0%	(6 of 7) 86%	(7 of 7) 100%
<b>3. HRStat Maturity Model: Analytics Domain</b> – OPM’s HRStat Maturity Model assessment tool (initiative & effort, scope of impact, performance measure).	0.8 1.0 1.0	2.0 2.6 2.5	Gov Wide Avg
<b>4. HRStat Maturity Model: Technology Domain</b> – OPM’s HRStat Maturity Model assessment tool (initiative & effort, scope of impact, performance measure).	1.0 1.5 1.0	2.1 1.9 2.3	Gov Wide Avg
<b>5. HRStat Maturity Model: Talent/Staff Domain</b> – OPM’s HRStat Maturity Model assessment tool (initiative & effort, scope of impact, performance measure).	1.4 1.0 1.0	2.5 2.4 2.4	Gov Wide Avg
<b>6. HRStat Maturity Model: Leadership Domain</b> – OPM’s HRStat Maturity Model assessment tool (initiative & effort, scope of impact, performance measure).	1.5 1.0 2.0	2.8 2.4 2.3	Gov Wide Avg
<b>7. HRStat Maturity Model: Collaboration Domain</b> – OPM’s HRStat Maturity Model assessment tool (initiative & effort, scope of impact, performance measure).	1.1 1.0 2.0	1.9 2.1 2.3	Gov Wide Avg

## Strategic Goal 2: Strengthen Alliances as We Attract New Partners

DoD leadership remains focused on its priority to strengthen relationships and modernize United States (U.S.) alliances across the globe. The civilian workforce represents a significant footprint in DoD's strategic global placement as part of ensuring commitment to our allies. Approximately four percent (over 30,000 DoD civilian employees) work outside of the continental U.S. to provide mission essential operations ranging from security cooperation, logistics, cyber security, and more. Additionally, the contribution from expeditionary civilians continues to provide growing impact to mission success. As an example, with more than 1,300 civilians deployed in the U.S. Central Command area of responsibility today (not including those involved in classified missions), the partnership between DoD civilians and military continues to grow stronger.



The NDAA for FY 2017 requires DoD to focus efforts on reforming the Security Cooperation program. This includes identifying and developing the security cooperation workforce. Additionally, DoD has strengthened the strategic requirements of expeditionary civilians in Combatant Command (COCOM) planning efforts, and development of initiatives such as these can be expected to continue.

Targeted civilian human capital strategies that support DoD's Strategic Goal 2 are provided in this section to include initiatives and metrics. These strategies include:

- 2.1. Build and Strengthen the Security Cooperation Workforce. (HCF: Talent Management)
- 2.2. Enhance the DoD Expeditionary Civilian (DoD-EC) program. (HCF: Talent Management)

## Strategy 2.1. Build and Strengthen the Security Cooperation Workforce (HCF: Talent Management)

Overview				
DoD will develop, execute, and administer a Security Cooperation Workforce Development Program (SCWDP) to improve the effectiveness of DoD's Security Cooperation programs and activities by advancing the competencies of the security cooperation workforce. The SCWDP will enable DoD to build the readiness of the security cooperation workforce to effectively and efficiently support current and future missions. **This strategy and its initiatives support OPM Federal Workforce Priority "Expanding employee development opportunities"				
<b>Initiative 2.1.1. Establish and Implement the SCWDP to achieve DoD's goal to strengthen alliances and partnerships through reforming the Security Cooperation enterprise in accordance with the NDAA requirement.</b>				
<b>Milestones</b>	2.1.1.1. DSCA and DoD components identify positions and personnel in the DoD SC workforce.	Oct 2017		
	2.1.1.2. DSCA submits final DoD SCWDP guidance for signature by the Under Secretary of Defense for Policy.	Jan 2018		
	2.1.1.3. DSCA implements the first phase of the DoD SCWDP's training/experience certification program.	Oct 2018		
	2.1.1.4. DSCA and DoD components update DoD Directives, instructions and other issuances to reflect SCWDP requirements.	Dec 2018		
	2.1.1.5. DCPAS to coordinate SCWDP requirements with DoD components' Labor Relations obligations.	Dec 2018		
	2.1.1.6. Director, DSCA will establish and chair a Security Cooperation Workforce Senior Steering Board (SSB).	Dec 2019		
	2.1.1.7. DoD components update manpower and personnel systems to reflect SCWDP requirements.	Dec 2020		
	2.1.1.8. DSCA implements the final phase of the DoD SCWDP's training/experience certification program.	Dec 2021		
<b>Source</b>	OUSD, Policy memo, 26 Jul 17, Interim Guidance for DoD SCWDP			
<b>Owner</b>	Defense Security Cooperation Agency (DSCA)			
Metric		Baseline FY17	Target FY18	Target FY19
<b>1. SCWDP Milestone Completion Rate.</b> Total number of milestones completed/divided by total number of milestones		(0 of 5) 0%	(2 of 5) 40%	(5 of 5) 100%
<b>2. SCWDP Position Designation Rate (Future metric).</b> Percent of DoD Security Cooperation workforce positions coded in DCPDS.		TBD	TBD	TBD

## Strategy 2.2 Enhance the DoD Expeditionary Civilian Program (HCF: Talent Management)

Overview				
<p>With publication of DTM 17-004, DoD Expeditionary Civilian (DoD-EC) Workforce, procedures were established to begin full integration of DoD civilians with Global Force Management (GFM). This will provide the tools to ensure expeditionary civilian requirements are appropriately considered to maximize the effectiveness and flexibility of Total Force capabilities that can be leveraged in support of COCOM.</p>				
<p><b>Initiative 2.2.1. Implement proactive measures to ensure an appropriate mix of expeditionary civilian capabilities are developed and sustained within the DoD civilian workforce in order to meet DoD's requirement for deploying civilians.</b></p>				
<b>Milestones</b>	2.2.1.1. DCPAS will collect input from FCMs on proposed actions and strategies for incorporating expeditionary service into career development maps, as value-added service and experience.	Feb 2018		
	2.2.1.2. DCPAS will collect human capital strategies from DoD Components to document their plans for ensuring successful achievement of expected results. Strategies may include Emergency Essential (EEs), volunteers, term hires and/or other methods.	Feb 2018		
	2.2.1.3. DoD Components ensure internal operating procedures are developed as needed to manage the DoD-EC volunteers, hiring, and pre-deployment processing and share best practices at DoD-EC forum.	May 2018		
	2.2.1.4. DoD Components establish policies for sustaining an expeditionary force through use of incentives, marketing, or other tools and share best practices at DoD-EC forum.	May 2018		
	2.2.1.5. Validate data through strategic communication, to include, but not limited to FAQs on how to ensure accuracy in the system.	Jun 2018		
	2.2.1.6. DoD Component responsibility begins for filling DoD-EC position requirements through GFM process	Oct 2018		
	2.2.1.7. DoD to track success of filling EC requirements through GFM process.	Oct 2018		
<b>Source</b>	DTM 17-004, DoD Expeditionary Civilian (DoD-EC) Workforce			
<b>Owner</b>	DCPAS DoD-EC Program Manager			
Metric		Baseline FY17	Target FY18	Target FY19
<b>1. Expeditionary program implementation milestone completion rate.</b> Percent of milestones met.		(0 of 5) 0%	(5 of 7) 71%	(7 of 7) 100%
<b>2. DCPDS Data Consistency Rate*.</b> Total number of DCPDS records where employee and position KEY EE records are both coded as Emergency Essential (EE), Civilian Based Volunteer (CBV), and/or Non-Combat Essential (NCE) divided by total number of records where either employee or position KEY EE records are coded as EE, CBV, and/or NCE DCPDS Data Consistency Rate.		35%	50%	95%

<b>3. Expeditionary Fill Rate (Current Process).</b> Total number of civilian employees in EC billets divided by total number of Expeditionary Civilian (EC) billets ordered for fill.	N/A	(409 of 546) 75%	Begin Metric 4
<b>4. Expeditionary Staffing Gap Fill Rate By Component.</b> Total number of civilian employees deployed in EC billets filled by DoD component divided by total number of EC billets identified ordered to DoD components as force pool requirements.	TBD	TBD	(508 of 508) 100%
<b>5. Ratio of CBV to Positions**.</b> Ratio of persons coded in DCPDS as Capability Based Volunteer (CBV) to number of DoD-EC requirements intended for CBV fill (as defined in Component strategies).	TBD	1:1	3:1

## Strategic Goal 3: Reform the Department's Business Practices for Greater Performance and Affordability

Government reform is a top priority for this Administration, and the Secretary of Defense supports that priority across DoD. In an effort to achieve business reform and efficiencies, the Secretary directed DoD components to conduct a thorough business review and identify viable reform initiatives to increase the efficiency and effectiveness of specific lines of business to include: HR Management, Financial Management; Real Property Management; Acquisition and Contract Management; Logistics and Supply Chain Management; Healthcare Management; Community Services; and Cyber and Information Technology Management.



The HCOP strategies that support DoD's Goal 3 focus on the effectiveness and efficiency of HR Management business processes with an indirect impact on business reforms identified by the Secretary of Defense. As we identify areas to reinvest resources across the Department, considerations in improving and strengthening business operations, reducing administrative and regulatory burden, optimizing organizational structures, and streamlining processes will be at the forefront.

Strategic human capital planning is important to avoiding waste and redundancy in civilian talent acquisition, training and development, and recruitment/retention strategies. Ensuring the involvement of HR advisors as partners in reform discussions can set the stage to avoid decisions that can be negatively impacted by incorrect HR assumptions. Finding opportunities to promote these relationships is important as part of any reformation and/or reorganization effort. Also, human capital planning and HR activities cannot be efficient without a strong IT/business system strategy, and are addressed here as well.

Assurance that human capital strategies and HR processes are executed effectively and successfully is based, not only on a strong relationship between HR and its strategic partners, but also on the availability of a credible, reliable, and efficient HR workforce. Reductions and constraints associated with downsizing, sequestration, and shrinking budgets have severely impacted the strategic recruitment of our HR staff. Strengthening HR capabilities will provide a positive return on investment by supporting strategic recruitment, competency and talent development, and retention goals for the DoD civilian workforce as a whole.

Targeted civilian human capital strategies that support DoD's Strategic Goal 3 are provided in this section to include initiatives and metrics. These strategies include:

- 3.1. Strengthen Human Capital Strategic Partnerships to Enhance Civilian Workforce Management and Improve HR Customer Service. (HCF: Strategic Alignment)
- 3.2. Invest in Civilian HR Management IT Redesign. (HCF: Talent Management)
- 3.3. Improve HR Capabilities by Strengthening the Competencies and Talent of the HR Workforce. (HCF: Talent Management)
- 3.4. Establish a DoD Enterprise HCM Accountability Program. (HCF: Evaluation)

## Strategy 3.1 Strengthen Human Capital Strategic Partnerships to Enhance Civilian Workforce Management and Improve HR Customer Service (HCF: Strategic Alignment)

Overview				
<p>In an effort to align civilian workforce capabilities with projected organizational restructuring and realignment, HR leaders seek opportunities to participate in initiatives to increase strategic partnerships with civilian workforce stakeholders to include, but not be limited to, Functional Community Managers and DoD/Component PSAs. HR will seek involvement in strategic planning efforts/discussions that involve the civilian workforce to include workforce restructuring, organizational design and workforce shaping. Serving as a strategic partner will ensure that DoD organizational changes consider the most efficient workforce planning and workforce shaping strategies to maximize performance and minimize impact to the civilian workforce.</p>				
<p><b>Initiative 3.1.1. Establish and implement HR development program to include competency framework and career road map to ensure that the HR workforce is able to recruit and manage a ready and capable civilian workforce to achieve DoD's strategic priorities.</b></p>				
Milestones	3.1.1.1. Establish a DoD HR Strategic Partnership Coalition (accountable, diverse group bound by opportunity, strategy and action) to develop and implement a plan to strengthen HR's role as a Strategic Partner.	Jan 2018		
	3.1.1.2. Develop ongoing strategic communication program to inform and strengthen HR's role in achieving the DoD mission.	Jun 2018		
	3.1.1.3. Develop and implement a Human Capital Strategic Partnership Plan that describes the DASD-CPP role and relationship with Senior Management Team.	Aug 2018		
	3.1.1.4. Strategically partner with DCPAS policy owners, DMDC, DoD Components, and OPM to leverage technology and develop process maps for Human Resources Information Technology (HRIT) functional requirements and high visibility initiatives affecting DoD civilian workforce.	Sep 2019		
	3.1.1.5. Develop a plan with embedded strategies and action items that support a model labor and employee relations program.	Dec 2019		
	3.1.1.6. Strengthen participation of the CHCO in OPM and OMB Federal-wide Human Capital Efforts.	Dec 2019		
Source	DCPAS Strategic Management Plan (FY17-22) (Goal 1.3, Goal 3); DHRA Strategic Management Plan (Goal 4 and 5)			
Owner	CPP/DCPAS; Component HR agencies			
Metric		Baseline FY17	Target FY 18	Target FY 19
<b>1. HR Partnership Milestones Completion Rate.</b> Total Number of Milestones completed divided by the total number of milestones.		(0 of 6) 0%	(3 of 6) 50%	(4 of 6) 66%
<b>2. Number of engagements with OPM/OMB (Future metric).</b>		TBD	TBD	TBD
<b>3. Customer Feedback Survey (Future metric).</b> Evaluation instrument.		TBD	TBD	TBD

## Strategy 3.2 Invest in Civilian Human Resources Management (CHRM) Information Technology Redesign (HCF: Talent Management)

Overview		
<p>Enhancing and streamlining HR Systems will increase the efficiency of data analysis, expand position management capabilities, increase the efficiency of the hiring process, and improve workforce data and decision making capabilities. Based on meaningful development of HR business enterprise architecture requirements and business case scenarios, DoD will modernize the CHRM IT Portfolio to meet current and future needs in order to increase the efficiency of HR operations.</p> <p>**This strategy and its initiatives links to OPM Federal Workforce Priority “Securing technological solutions for human capital analysis.”</p>		
<p><b>Initiative 3.2.1. –Develop CHRM Strategy and Plan for Business Enterprise Architecture Environment to improve HR business processes.</b></p>		
Milestones	3.2.1.1. Develop a plan for new CHRM Enterprise Architecture.	Oct 2017
	3.2.1.2. Conduct working sessions to document the CHRM Functional Strategy (FS) strategic initiatives.	Dec 2017
	3.2.1.3. Publish the updated CHRM FS.	Mar 2018
	3.2.1.4. Develop a plan for new Human Resources Management Business Enterprise Architecture (BEA) Environment.	FY 2020
	3.2.1.5. Evaluate and Adjust.	FY2021+
	3.2.1.6. Include Integrated Personnel & Pay.	FY2021+
<p><b>Initiative 3.2.2. –Identify HRIT Functional Requirements for High Priority and emerging Requirements and Collaborate with Process owners to increase the efficiency of HCM and services.</b></p>		
Milestones	3.2.2.1. Identify and request system change requirements to support FY 17 and 18 NDDAA.	Sep 2018
	3.2.2.2. Develop process map for each DoD enterprise HRIS.	Mar 2018
	3.2.2.3. Develop AS-Is process map for HR enterprise systems.	Sep 2019
	3.2.2.4. Develop TO-BE process maps for HR enterprise systems.	Sep 2020
<p><b>Initiative 3.2.3. – Construct Capability Requirements Documents for HR Systems under Modernization to increase the efficiency and effective of HR business systems and data driven decision capabilities.</b></p>		
Milestones	3.2.3.1. Deliver capabilities requirement document for Automated Stopper & Referral System (ASARS).	Oct 2017
	3.2.3.2. Deliver capabilities requirement document for Executive Performance Appraisal Tool (EPAT).	Mar 2018
	3.2.3.3. Deliver capabilities requirement document for Defense Competency Assessment Tool (DCAT).	Sep 2018
	3.2.3.4. Deliver capabilities requirement document for Defense Talent Management System (DTMS).	Sep 2020
Source	DCPAS SMP	
Owner	DCPAS ESID, DHRA	

Metric	Baseline FY17	Target FY18	Target FY19
<b>1. Milestone Completion Rate (Initiative 1).</b> The number of FY18-19 milestones (1 thru 3) completed divided by total # of milestones (3)	(0 of 3) 0%	(3 of 3) 100%	(3 of 3) 100%
<b>2. Milestone Completion Rate (Initiative 2).</b> The number of FY18-19 milestones (1 thru 3) completed divided by total # of milestones (3).	(0 of 3) 0%	(2 of 3) 67%	(3 of 3) 100%
<b>3. System Design and Development Completion Rate.</b> Completion rate for Portfolio Analysis and Investment Management Operating Instruction (OI).	2.5%	75%	75%
<b>4. System Change Requests Completion Rate.</b> Total # of completed system change requests divided by total number of change requests.	0%	25%	80%
<b>5. Milestone Completion Rate (Initiative 3).</b> The number of FY18-19 milestones (1 thru 3) completed divided by total # of milestones (3).	(0 of 3) 0%	(2 of 3) 67%	(3 of 3) 100%

### Strategy 3.3 Improve HR capabilities by strengthening the competencies and talent of the HR workforce (HCF: Talent Management)

Overview			
Delivering a highly capable HR workforce facilitates Human Capital initiatives to meet mission needs. DoD must build the strength of HR specialists to ensure talents are all encompassing, from tactical practitioners through strategic business partners. Developing and strengthening HR talent ensures DoD gets the right people with the right skills into the right position to maximize employee performance and accomplish its mission. This strategy and its initiatives support OPM Federal Workforce Priority “Expanding employee development opportunities.”			
<b>Initiative 3.3.1. Establish and implement HR development program to include competency framework and career road map to ensure that the HR workforce is able to recruit and manage a ready and capable civilian workforce to achieve DoD’s strategic priorities.</b>			
Milestones	3.3.1.1. Establish an HR Community Development Coalition to include cadre of HR Strategic Partners.		Dec 2017
	3.3.1.2. Design HR Competency framework and career development program (CPPC best practices and 2-day off-site).		Feb 2018
	3.3.1.3. Conduct an HR strategic planning workshop; present findings to HR executive planning committee.		Feb 2018
	3.3.1.4. Develop HR strategic plan; include a methodology for monitoring and tracking an HR Career Development Program.		Mar 2018
	3.3.1.5. Present HR Development framework at the biennial World-Wide Human Resources Symposium.		Jul 2018
	3.3.1.6. Develop and implement HR Workforce Development Communication Plan.		Nov 2018
	3.3.1.7. Conduct HR Competency Assessment.		Jan 2020
	3.3.1.8. Identify HR Competency Gaps and develop SWP to close gaps.		Mar 2020
Source	CPPC Recommendations and DCPAS SMP		
Owner	CPPC/HR OFCM		
Metric	Baseline FY17	Target FY18	Target FY19

<b>1. HR Workforce Development Milestone Completion Rate.</b> Total Number of Milestones completed divided by the total number of milestones.	(0 of 8) 0%	(6 of 8) 75%	(8 of 8) 100%
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## Strategy 3.4: Establish a DoD enterprise Human Capital Management (HCM) Accountability Program (HCF: Accountability)

Overview				
A key requirement for Strategic HCM under the 5 CFR 250, Subpart B, is the HCF evaluation system. DoD is required to ensure compliance with Merit Systems principles and identify, implement, and monitor process improvements. A HCM system that incorporates the HCF will complement human capital planning, implementation, and evaluation of strategies and ensure human capital accountability. The system will establish a DoD Accountability Program designed to review all HCM systems and select HR transactions to ensure efficiency, effectiveness, and legal and regulatory compliance.				
<b>Initiative 3.4.1. –Establish a DoD enterprise HCM Accountability Program.</b>				
<b>Milestones</b>	3.4.1.1. Establish HCF Working Group.		Dec 2017	
	3.4.1.2. Update the DoD Human Capital Assessment and Accountability Framework (HCAAF) FY 2017-2020 Plan (signed February 2017) with P&R Memorandum.		Mar 2018	
	3.4.1.3. Coordinate updated HCF Plan with DoD Components for official comments.		Apr 2018	
	3.4.1.4. Publish and distribute updated HCF Plan.		Jul 2018	
	3.4.1.5. Provide cost estimates to support DCPAS-led onsite evaluations of FY18 Human Capital Evaluations.		Nov 2018	
	3.4.1.6. Begin evaluation of component compliance with newly established guideline and expectations as established in HCF Plan.		Mar 2019	
<b>Source</b>	DCPAS Strategic Management Plan (Goal 3.1.c)			
<b>Owner</b>	DCPAS P&A; Component HCF Evaluation offices			
Metric		Baseline FY17	Target FY18	Target FY19
<b>1. HCM Accountability Milestone Completion Rate.</b> Total Number of Milestones completed divided by the total number of milestones.		(0 of 6) 0%	(4 of 6) 66%	(6 of 7) 100%
<b>2. Percentage of completed HCF evaluations.</b> Over a specified timeframe, evaluations completed / scheduled by components/agencies.		100%	100%	100%
<b>3. Ratio of met/partially met/not met findings across completed evaluations (Future metric).</b>		TBD	TBD	TBD
<b>4. Annual Component/4th Estate HCF Assessment Score (Future metric).</b>		TBD	TBD	TBD

## Federal Workforce Priorities Report (FWPR)

The FWPR was published by OPM in February 2018. The report communicates key Government-wide human capital priorities and suggested strategies for strategic and human capital planning. OPM identified six human capital priorities that span across all federal agencies as presented in Figure 1 below.

**Figure 1 - OPM Federal Workforce Priorities**

(Highlighted boxes identify those priorities that DoD is incorporating in its HCOP)

Priorities in the Context of Workforce Reshaping	Priorities to Help Maximize Employee Performance
<p><b>Priority 1: Succession Planning and Knowledge Transfer.</b> Conduct succession planning activities to retain and transfer institutional knowledge, as workforce reshaping efforts are undertaken.</p>	<p><b>Priority 4: Expanding Employee Development Opportunities.</b> Provide employees with ample opportunities for continuous professional growth and skill development.</p>
<p><b>Priority 2: Deploying Communication Tools.</b> Adopt tools that allow employees to easily connect, communicate, and collaborate with one another regardless of geographic location.</p>	<p><b>Priority 5: Bolstering Employee Recognition Programs.</b> Administer robust programs to appropriately recognize and reward employees who demonstrate high levels of performance and significantly contribute to achieving organizational goals.</p>
<p><b>Priority 3: Securing Technological Solutions for Human Capital Analysis.</b> OPM will seek to acquire or develop enterprise technological solutions to assist the Federal human capital community with human capital analysis.</p>	<p><b>Priority 6: Enhancing Productivity through a Focus on Employee Health.</b> Encourage employees to engage in physical fitness activities during time spent commuting and being at work.</p>

OPM requires that agencies select a minimum of two of the six Federal-wide human capital priorities for inclusion in Human Capital Operating Plans. For the FY18-19 HCOP, DoD selected *Priority 3: Securing technological solutions for human capital analysis*, and *Priority 4: Expanding employee development opportunities*.

The specific strategy and initiatives that address how DoD will secure technological solutions for human capital analysis are detailed in *HCOP Strategy 3.2, Invest in CHRM Information Technology Redesign*. Reforming and improving CHRM is a top priority for DoD and was included in the DoD Reform Plan submitted to OMB in September 2017. DoD’s Business Operations Plan reinforces DoD’s commitment to streamline business processes and reduce policy and regulatory burden where necessary.

The second FWPR priority identified by DoD, expanding employee development opportunities, is supported by several HCOP strategies and initiatives to include:

- *HCOP Strategy 1.3. Improve and Sustain Civilian Leadership Development* through implementing an evaluation program and modifying where necessary.
- *HCOP Strategy 1.5. Maximize Employee Performance*, through completing Department-wide training for DPMAP, including how well supervisors communicate expectations, provide feedback, and ensure development of their subordinates.
- *HCOP Strategy 2.1. Build and Strengthen the Security Cooperation Workforce*, by implementing the DoD SCWDP’s training/experience certification program.

- *HCOP Strategy 3.3. Improve HR capabilities by Strengthening the Competencies and Talent of the HR Workforce.*

DoD remains committed to implementing meaningful HCOP initiatives to recruit and retain the best civilian workforce to bolster DoD capabilities and readiness.



# Human Capital Framework (HCF) Implementation

The HCF, as defined in 5 CFR 250 Subpart B, integrates four strategic human capital systems to provide comprehensive guidance for planning, implementing, and evaluating strategic HCM in Federal agencies. Utilizing the HCF in human capital strategic planning will result in improved outcomes for human capital programs that enable the accomplishment of agency mission objectives. The HCF identifies twenty-one possible focus areas, as shown in Table 3 below. Focus areas identify the specific areas of HCM that agencies may need to focus on to achieve the standards for a given HCF system.

**Table 3 – Human Capital Strategies and HCF Alignment**

Agency Human Capital Strategy	I. Strategic Planning and Alignment System						II. Talent Management System					III. Performance Culture System					IV. Evaluation System			
	Focus Areas						Focus Areas					Focus Areas					Focus Areas			
	Agency Strategic Planning	Annual Performance Planning	Strategic Human Capital Planning	Knowledge Sharing	HR as a Strategic Partner	Organizational Development	Change Management	Workforce Planning	Recruitment & Outreach	Employee Development	Retention	Knowledge Management	Engaged Employees	Continuous Learning	Performance Management	Diversity and Inclusion	Labor/Management Partnership	Worklife	Business Analytics	Data Driven Decision Making
1.1 Identify and strengthen Mission Critical Occupations (MCOs) aligned with strategic priorities.					<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>												
1.2 Recruit and retain a highly skilled and agile civilian workforce.	<input checked="" type="checkbox"/>							<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>										
1.3 Improve and sustain civilian leadership development.									<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>							
1.4 Improve civilian workforce hiring practices.	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>												
1.5 Maximize Employee Performance.			<input checked="" type="checkbox"/>									<input checked="" type="checkbox"/>								
1.6 Institute the Human Capital Operating Plan (HCOP) and HRStat program.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>													
2.1. Build and strengthen the Security Cooperation workforce.	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>												
2.2 Enhance the DoD Expeditionary Civilian (DOD-EC) program.					<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>												
3.1. Strengthen Human Capital strategic partnerships to enhance civilian workforce management and improve HR customer service.					<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>												
3.2. Invest in Civilian HR Management IT Redesign.	<input checked="" type="checkbox"/>																		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
3.3. Improve HR capabilities by strengthening the competencies and talent of the HR workforce.								<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>							
3.4. Establish a DoD enterprise Human Capital Management (HCM) Accountability Program.			<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>													

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# **Appendix A: Plan to Maximize Employee Performance**

**DEPARTMENT OF DEFENSE**

**PLAN TO MAXIMIZE EMPLOYEE PERFORMANCE**

**as reported to OMB on  
June 30, 2017**

This report responds to section II, paragraph 3, of the Office of Management and Budget (OMB) Memorandum, M-17-22, “Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Civilian Workforce,” which directed federal agencies to provide OMB with a plan to maximize employee performance. The Department of Defense (DoD) has reviewed the actions required by section III of M-17-22, and provides the following information about the Department's current efforts and future strategy to ensure we have the best policies, practices, and people in place in support of these actions, to maximize employee performance.

## **INTRODUCTION**

The Department, under the leadership of the Secretary of Defense, is a highly diverse global organization and the largest and most complex of all federal agencies, with a Total Force comprised of military members, civilian employees, and contracted support. A wide range of talent is required to perform our many and varied current missions as well as our ever-increasing roles and responsibilities. No other federal agency has as many different occupations working side by side, nor operates under as many different personnel systems.

There are approximately 600 different occupational categories across the DoD enterprise. Our civilian workforce is governed by titles 5, 10, 20, 28, 29, 32, 33 and 38 of the U.S. Code (U.S.C.), and employees can be hired using hundreds of different hiring authorities and compensated under 66 different pay systems. Adding to that complexity, the Secretary is supported by three subordinate Military Departments and other organizational components, all with their own independent missions and authorities.

It is for these reasons that the Department's efforts to maximize employee performance are designed to increase effectiveness at both the enterprise and organizational levels, align individual performance with strategic organizational objectives, and facilitate a high-performing culture that will help DoD accomplish both its current and future missions. The Department's new performance management program, creation of which was required by the National Defense Authorization Act (NDAA) for FY 2010, Public Law No. 111-84, places greater emphasis upon employee/supervisor communication and accountability, increased employee engagement, transparent processes, and the relationship between recognizing and rewarding superior performers.

As the Department is in the process of implementing and evaluating the initiatives established under these and other authorities, we are able to address the significant progress already made and actions underway, as well as those planned, to maximize employee performance. The following is an overview of major initiatives related to each of the five actions outlined in the OMB memorandum, as well as areas targeted for continued evaluation and improvement, and a timeline for implementation of actionable items.

## **I. REVIEW AND UPDATE OF FORMAL AGENCY POLICY**

The Department's diverse mission and workforce require a complex set of policies and processes designed to ensure we hire and retain high performing employees. Our performance management policies were recently updated and are designed to establish realistic performance expectations, provide appropriate guidance to managers and supervisors at every level of the enterprise, and ensure each employee is evaluated accurately and fairly. The following section provides a summary of our current performance management policies and processes, along with a description of several ongoing efforts to analyze and improve how we manage employee performance.

### **The Defense Performance Management and Appraisal Program**

In February 2016, Department of Defense Instruction (DoDI) 1400.25, Volume 431, "DoD Civilian Personnel Management System: Performance Management and Appraisal Program," was issued, establishing a new performance management program to develop and maintain a results-oriented performance culture. The DoD Performance Management and Appraisal Program (DPMAP) is designed to align employee contributions to mission accomplishment and link performance elements and standards to strategic organizational goals. The establishment of DPMAP marks the first time the Department has had an enterprise-wide performance management program, allowing for a common approach to measure individual contributions to organizational objectives.

The Department established this enhanced performance management program to meet the relevant requirements in title 5, U.S.C., section 9902, and worked closely with managers and labor organizations to create a fair, credible, and transparent performance appraisal program that complies with chapters 43, 53, 71, and 75 of title 5, U.S.C., and links recognition and other performance-based actions to employee performance. This collaborative approach ensured that the views and interests of all stakeholders were addressed, allowed the Department to leverage the best ideas regarding performance management from every level of the DoD enterprise, and led to implementation of a wide range of labor-management recommendations for fostering a high performing culture across the DoD.

Phased implementation of DPMAP began in April 2016. As of May 1, 2017, over 273,000 DoD employees – 159,000 of whom are in bargaining units – are covered by this program. Once this program is fully deployed across the Department, over 630,000 employees, including 420,000 bargaining unit employees, will have their performance evaluated under DPMAP policies and processes. Full implementation of DPMAP is scheduled to be completed in October 2018.

DPMAP emphasizes continuous communication between the employee and the supervisor, early intervention to address poor performance or conduct, and enhanced accountability of, and support for, first-line supervisors. Mandatory performance discussions help ensure that performance plans accurately reflect the work being evaluated. Supervisors must conduct a minimum of three formal, documented performance discussions during each annual appraisal cycle, though both supervisors and employees are encouraged to initiate additional informal performance discussions at any time during the appraisal cycle. In addition, supervisors and employees are trained on the importance of engaging in two-way performance feedback throughout the appraisal cycle to foster a culture of high performance.

DPMAP uses a three-level rating pattern which aligns with Summary Level Pattern B, as identified in title 5, Code of Federal Regulations (C.F.R.), section 430.208(d)(1). Under this rating pattern, employees are rated as Outstanding (Level 5), Fully Successful (Level 3), or Unacceptable (Level 1). Supervisors are required to submit a performance narrative for each performance element rated (5) or (1), and are highly encouraged to do so for performance elements rated (3) to ensure meaningful distinctions in performance and to recognize accomplishments and contributions to mission success. Employees are encouraged to provide input on their accomplishments to their supervisors for consideration during the appraisal process.

Additionally, DPMAP performance elements and standards are designed to be Specific, Measurable, Achievable, Relevant, and Timely (SMART), and apply the appropriate amount of rigor and alignment to organizational objectives. DPMAP requires the SMART elements and standards to be developed with employee input.

DPMAP also helps to improve individual performance by linking rewards directly to significant accomplishments. Traditionally, employees receive recognition and rewards at the end of the annual rating cycle. DPMAP emphasizes and promotes timely recognition and reward of employee contributions throughout the appraisal cycle and not just at the end of the cycle. This approach leads to organizational success because employees are more engaged and motivated by meaningful and timely recognition for a job well done.

To support DPMAP, the Department developed “MyPerformance,” a fully automated, on-line performance management tool. This tool, which is being phased-in concurrently with DPMAP implementation, allows for the communication between the supervisor and the employee to be fully documented, and training on the use of this system will be provided to supervisors and employees on a recurring basis. MyPerformance videos are also available to assist supervisors and employees with how to use the tool.

A significant component of DPMAP is its emphasis on “cultural change” within DoD regarding performance management. Instructor-led and online training has therefore been developed and prioritized as a key facet to DPMAP implementation. The Department has made a concerted effort to include supervisors, managers, and employees in the same instructor-led training to ensure consistency, appropriate messaging, and open communication. This training program was developed with input from DoD management officials, employees, and labor union officials.

To assist DoD Components and agencies in making a smooth transition to DPMAP, a comprehensive train-the-trainer model was used at the Department-level, wherein over 500 DPMAP master instructors have been certified to train supervisors, managers, and employees throughout DoD. Multiple user guides and training videos were also developed to provide employees, supervisors, managers, and Human Resources (HR) staffs with guidance regarding employee engagement, performance planning, feedback requirements, and evaluating or improving performance. Sustainment training will be implemented and adjusted based on feedback received through our various DPMAP evaluation efforts.

The Department will evaluate the implementation of our newly established DPMAP policies to determine their effectiveness and the need for modification as phased implementation of this program continues.

## **Alternative Department of Defense Performance Management Programs**

While DPMAP is the Department's enterprise performance management program and covers the majority of the civilian workforce, there remain unique, specialized civilian occupations within DoD that lend themselves to alternative, specifically-tailored, performance management programs. As such, these communities will not be covered by DPMAP, but rather, operate under other contributions-based pay systems that achieve the same goal of focusing employee performance on organizational success. The Department's Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo), Defense Civilian Intelligence Personnel System (DCIPS), and Senior Executive and Senior Professional workforce are three such examples.

### **Civilian Acquisition Workforce**

The Department's civilian acquisition workforce is made up of over 145,000 employees working in 15 functional communities across the Military Departments and Defense Agencies. Over 37,000 of these employees are a part of AcqDemo, a project initiated in February 1999, to provide managers with the authority, control, and flexibility they need to achieve quality acquisition processes and quality products. AcqDemo performance management policies and practices are directed and focused on the contribution of employees to the organizational mission. The contribution-based compensation and appraisal system of the AcqDemo workforce is the methodology in which the value and effectiveness of the results of employee contributions to their organization's mission are assessed on an annual basis. Employee pay is directly linked to mission accomplishment within this system. A 2016 RAND independent assessment of AcqDemo found that "higher levels of contribution to the organizational mission were associated with higher salaries, more-rapid salary growth, more promotions, and a greater likelihood of retention."

AcqDemo has historical data to prove that the system improves performance for all employees, and shows that the under-contributing employees are more likely to leave their positions and high contributors are highly likely to remain in their positions. In fact, average loss rates of under-contributing employees are as high as 50 percent per year, while retention rates of employees contributing at a level well above their pay are as high as 94 percent. As a result of the success of this program, the Department increased the number of employees participating in AcqDemo from 11,000 in 2006, to over 37,000 in 2017.

### **Defense Intelligence Enterprise**

Employees in the Department's Intelligence Enterprise are managed by DCIPS, a title 10 Excepted Service Civilian Personnel System. DCIPS is a mission-focused performance system that supports the complete human capital lifecycle for DoD civilian positions, employees, and organizations engaged in or in support of an intelligence or intelligence-related mission.

Rigorously evaluating individual performance and holding supervisors accountable for managing employee performance and conduct are key components of DCIPS. This system provides comprehensive guidance on planning, setting, aligning, and communicating individual and organizational performance expectations to employees.

Supervisors within the Intelligence Enterprise are specifically evaluated on their demonstrated leadership, integrity, and managerial proficiency. The DCIPS performance management process is designed to ensure individual ratings are aligned with organizational results, which allow organizations within the Department's intelligence community to accurately evaluate and reward employee performance.

The National Security Agency (NSA), a component of the Defense Intelligence Enterprise, has initiated an innovative pilot effort to improve its performance management process. This pilot, referred to as the Talent, Evaluation, and Advancement (TEA) system, is based on recommendations found in current performance management literature and internal workforce studies and surveys. Under TEA, NSA managers and employees develop a shared understanding of "essential job functions" and workplace behaviors that are unacceptable. NSA leadership provides clear feedback to all levels of the organization on actions taken to address performance issues, and the organization publishes case statistics to ensure the workforce sees that action is taken to address performance and misconduct issues when appropriate.

NSA also operates under a "rank-in-person" personnel system, which allows the agency to utilize and compensate employees based on their performance, demonstrated expertise, and contribution to the mission. As a part of its TEA initiative, NSA has consolidated its annual performance review process and its annual rank-in-person promotion processes. The consolidation of these two processes increases the efficiency of the process by eliminating the requirement that managers meet multiple times during the year to carry out the different decision processes affecting performance and promotion. More importantly, the integrated process ensures that there is a competitive look at everyone to ensure that only the most qualified and highest performing employees are advanced or considered for special recognition. The initial feedback from the TEA process is promising, and NSA will continue to evaluate its effectiveness and make adjustments as required.

### **Senior Executive & Senior Professional Performance Management**

The Department's senior executive workforce is evaluated under a rigorous pay-for-performance system, which is governed by DoDI 1400.25, Volume 920, "Defense Civilian Personnel Management System: Senior Executive Service Performance Management and Compensation Policy." This policy was published in March 2017 to consolidate various enterprise-wide performance management and compensation guidance documents and incorporate the most recent government-wide guidance issued by the Office of Personnel Management (OPM) into one seamless, integrated program. This guidance emphasizes the importance of maintaining a positive executive performance culture in which contributions are fully recognized and rewarded. The policy aligns an executive's contributions to results accomplished throughout DoD and within organizational performance goals, and recognizes superior leadership and results with appropriate recognition applied in a consistent, transparent, trusted, credible, equitable, nondiscriminatory, and non-political manner.

Similar guidance is under development for our Senior Professional workforce, and will be contained in the forthcoming DoDI 1400.25, Volume 921, "Senior Professional Performance Management and Compensation." We expect to publish our new Senior Professional performance management policy by December 2017.

DoD provides supplemental guidance regarding our executive performance management process, endorsed by the Deputy Secretary of Defense, to Components at the beginning and at the end of each annual performance cycle. This guidance emphasizes to senior executives the high standard of performance that is expected at the executive level and the importance of aligning their efforts with organizational objectives. The annual appraisal cycle closeout guidance reminds raters to make meaningful distinctions in performance scores as appropriate and reserve the highest ratings only for those executives who have achieved exemplary results.

The Department's policies relating to executive-level performance management comply with OPM's requirements for full certification of executive performance management systems. Both our senior executive and our senior professional performance management systems have maintained certification from OPM for several years. This certification provides credibility for our process to executives and their supervisors, and allows the Department to utilize a higher pay ceiling than agencies with an uncertified performance management system. Our system meets or exceeds certification requirements by linking individual performance to organizational objectives, requiring extensive collaboration between supervisors and employees, and appropriately rewarding high performers.

### **Reduction in Force**

As required by the NDAA for FY 2016, the Department recently established procedures that require any reduction in force of civilian positions in the competitive or excepted service be made primarily on the basis of performance. Initial implementation policy was published in a Deputy Secretary of Defense policy memorandum in January 2017. In the near future, the Department will provide comprehensive guidance in an update to DoD 1400.25, Volume 351, "DoD Civilian Personnel Management System: Coordination and Clearance Requirements for Personnel Reductions, Closures of Installations and Reductions of Contract Operations in the United States." The new DoD reductions in force procedures are consistent with the implementation of DPMAP, designed to continue a results-oriented performance culture after a downsizing.

To comply with this new statutory requirement, the Department reordered the order of retention established in government-wide regulations by making performance the primary retention factor. Under the new procedures, employees are ranked on a retention register based on periods of assessed performance, followed by the retention factors of performance rating of record, tenure group, performance average score, veteran's preference, and DoD service computation date. This new policy will help the Department ensure we retain our highest performing employees.

### **Probationary Periods**

Section 1105 of the NDAA for FY 2016, established a 2-year probationary period for employees appointed to positions within the Department after November 26, 2015, the policy for which was subsequently issued via policy memorandum, "Probationary Period for New Employees," dated September 27, 2016. This additional 1-year period, which differs from the government-wide 1-year probationary period, provides the Department additional time to assess the performance of new employees. The implementing policy memorandum states that in order to be beneficial, the longer probationary period must be supported by effective performance management practices, including those established by DPMAP.

To maximize the evaluative intent of the probationary period, the Department will assess trends associated with performance during the probationary period, as well as correlated management action. We are also developing guidance and related processes to support supervisors in assessing the progress of new employees at the mid-point of the 24-month probationary period and actively addressing any performance-related issues. We will complete a review of this new policy by September 2018, to ascertain the impact of the extended probationary period.

## **Hiring Processes**

Attracting and hiring the highest-quality employees is a foundational element of the Department's plan to maximize employee performance. The Department seeks to attract the highest quality of candidates, thereby ensuring the workforce we hire and retain are effective and engaged performers. DoD implemented an improved hiring process in July 2015 that integrates a Supervisory Situational Judgement Test (SSJT) and other analytic assessments to evaluate applicants on critical competencies for both leadership and non-supervisory positions. The Department also revamped technical assessment questionnaires to more accurately measure technical competencies. Evaluation data following implementation of our revised hiring process indicates this improved applicant assessment approach gives us a more rigorous and valid process, which allows us to select employees who are most likely to meet performance expectations. We will continue to expand the use of this process, analyze the outcomes, and make adjustments where appropriate.

In addition to the SSJT, the Army has implemented a Managerial Situational Judgment Test (MSJT) in which applicants applying for select senior supervisory GS-14 and GS-15 positions are assessed against eight leadership competencies as part of the competitive hiring process. The Army will continue to evaluate the use of the MSJT and consider expanding it to other positions in the future

## **II. PROVIDE TRANSPARENCY IN THE PERFORMANCE IMPROVEMENT PLAN PROCESS**

The Department uses Performance Improvement Plans (PIPs) to give employees who are not meeting performance expectations the opportunity to succeed while still holding them accountable for past performance. Below is a summary of our policies and our on-going efforts to enhance the use of this important tool.

### **Summary of PIP Policy and Processes**

General guidance on the appropriate use of PIPs, including required elements and timeframes for completion, has been provided to all supervisory and non-supervisory employees in the workforce via issuance of DoDI 1400.25, Volume 431, "DoD Civilian Personnel Management System: Performance Management and Appraisal Program," and in accordance with title 5, C.F.R., section 432.104. Current DoD policy requires establishment of a PIP in cases where an employee is rated Unacceptable (Level 1). Additionally, supervisors may place an employee on a PIP at any time when the employee's performance is determined to be at less than an acceptable level of competence.

Clear guidance regarding the use of PIPs to address poor performance is included in DPMAP policy. This policy requires supervisors to identify, in writing, any element(s) in which performance is “Unacceptable,” and provide a description of the unacceptable performance. Supervisors must further identify the standards the employee must attain in order to demonstrate “Fully Successful” performance, along with the time allowed for the opportunity to improve. The time allowed must be reasonable and commensurate with the duties and responsibilities of the position, and is typically expected to be 30-90 calendar days. Additionally, DoD can address poor performance under its unique authority provided by section 1106 of the NDAA for FY 2016 (title 5, U.S.C., section 5335). In accordance with the new provisions under title 5, U.S.C., section 5335, the period of time during which the work of an employee is not at an acceptable level of competence shall not count toward completion of the period of service required for a Within Grade Increase (WGI). DoD guidance regarding WGI delay will be published via a policy memorandum in the coming months and incorporated into a formal DoD Issuance no later than December 2017.

In addition to procedures identified above, the AcqDemo program features a contribution and performance improvement methodology referred to as a Contribution Improvement Plan (CIP). An inadequate contribution and/or performance assessment in any one of the six AcqDemo contribution factors at any time during the appraisal period is considered grounds for the initiation of a CIP that may result in reassignment, reduction-in-pay, or removal action, referred to as “contribution-based actions.”

The Department provides centralized and standardized information papers, toolkits, tip sheets, and other resources for managers and supervisors through the Defense Civilian Personnel Advisory Service (DCPAS). More specific guidance is provided at the Component and sub-Component levels throughout the Department. Still, supervisors often report difficulty with developing the necessary notice to employees and taking time to coach poor performers. To alleviate this barrier to initiating action, DoD is working with Components to develop CIP and PIP templates and tools to help supervisors manage these actions. We expect that development and deployment of these new materials will be completed no later than December 2017.

### **Monitoring Use of Performance Improvement Plans**

DoD does not yet maintain Department-wide data on the use and effectiveness of PIPs. However, prior to the issuance of OMB memo M-17-17, the Department had begun development of new policies requiring all organizations to report the use and outcome of PIPs, as well as forthcoming guidance regarding use of WGI delays to address performance issues. This new guidance requiring reporting of PIPs in official records also complies with title 5, U.S.C., section 3330e, which requires hiring managers to review and consider information relating to a candidate’s previous periods of federal service.

### **III. ENSURE MANAGERS AND SUPPORTING HR STAFF ARE APPROPRIATELY TRAINED**

The Department has a number of robust training programs that are designed to assist senior executives, managers, supervisors, and HR staffs with leading our workforce and effectively managing employee performance and conduct. An overview of our current efforts, and information on additional initiatives that will enhance our ability to provide training related to performance management on an ongoing basis follows below.

#### **Managerial and Supervisory Training**

In 2010, the Department implemented a Managerial and Supervisory Training Program to provide guidance and oversight to meet mandatory training requirements pursuant to title 5, C.F.R., section 412.202. In April 2011, via an intra-agency working group effort, the Department completed and provided DoD Components with a supervisory training framework and curriculum focused on supervisory and leadership competencies for new supervisors. This comprehensive supervisory learning and development program includes required training on performance management and conduct. The training requirement impacts over 140,000 civilian and military supervisors, managers and executives who supervise civilian employees in all DoD personnel systems. Over 103,000 DoD personnel have completed this program as of May 2017.

In June 2016, the Department chartered a DoD Intra-Agency Working Group (IWG) to update existing learning standards and create an evaluation framework. The IWG completed its work in the spring of 2017, producing updated standards for supervisors and managers, which are high-level outcome-based versus curriculum-based, providing flexibility to Components to creatively meet emergent/specific requirements and simultaneously ensure they get the right people in the right training/program at the right time. The framework developed by the IWG was used to update the content in our existing Managerial and Supervisory Training Program. The program is also being revised to address some of the prevailing myths regarding supervisors' authority to address performance issues and, if necessary, take action to remove employees who fail to meet performance standards. The Department continues to develop the framework for this program, and will publish additional guidance by December 2017.

The Army supplements the mandatory training requirements for managers and supervisors by delivering a 3-day face-to-face course called HR Training for Supervisors. The course is delivered by local HR experts and addresses the real-time needs of managers and supervisors who face daily HR situations. The focus of the course is to aid managers and supervisors in HR issue identification and connect them with the HR professionals who will assist them. Over 1,400 Army supervisors have completed this program as of May 2017.

Within the AcqDemo workforce, HR, management, supervisor, and employee training is given prior to an organization entering the AcqDemo system. This training is designed to cover all aspects of AcqDemo appropriately. Supervisors typically attend both the employee and supervisor courses. Additionally, the AcqDemo Program Office provides training to all organizational leaders in order to prepare them to effectively execute the contribution-based compensation and appraisal system.

The AcqDemo Program Office provides an extensive eLearning library, which includes classes and instructional videos, guides, and frequently asked questions (FAQs) covering all the topics associated with the AcqDemo performance management system on the AcqDemo website. Supervisors in this system are supported by subject matter experts who are available to provide real-time guidance to supervisors on performance or conduct issues either via telephone or email.

### **Human Resources Staff Training**

The Department conducts a biennial training event for HR professionals, covering such topics as employee relations, staffing, classification, compensation, awards, training and workforce planning. Over 30 percent of the topics addressed at this event relate to performance management, which provides HR staffs with current knowledge and tools for use in advising managers and supervisors on issues related to employee performance issues. The most recent session of this program, conducted in July 2016, launched the new DPMAP to the HR workforce by introducing the new program and demonstrating the automated tools that are used to manage this process.

The Navy supplements DoD-wide HR training by conducting monthly HR training at all levels of the organization tailored to entry level, journeyman, and expert-level personnel specialists. This training addresses the full HR lifecycle, to include recruiting, onboarding, training and development, classification, employee relations, compensation, awards, and performance management.

The Army designs and delivers HR training to personnel at all levels of their organization. The training is conducted by HR subject matter experts from headquarters as well as adjunct faculty from the field, and is designed to identify and close competency gaps within Army's HR workforce. All training is evaluated for effectiveness in comprehensive end-of-course evaluations. This robust training program delivered experience-level training to approximately 6,000 HR personnel in 2016.

The Air Force delivers multi-functional training programs to its core HR specialists at its Air Force Personnel Center and at field-level organizations. This training is targeted to improve knowledge and effectiveness of HR staff. Coursework includes staffing, classification, performance management, and suitability adjudication. As a means to enhance civilian hiring and promote greater accountability to provide HR service delivery, performance standards have been developed under the new DPMAP. HR advisors within the Air Force will be held to specific goals/targets related to providing management advisory support, job announcements, referral certificates, and various HR updates.

The DoD, in close collaboration with OPM, is currently developing a formal HR certification framework to continue professionalizing the HR workforce. Performance management will be one of the career specialties to receive major emphasis within the framework. Metrics for success will be determined by the number of HR Specialist Certificates attained. We expect to leverage and assist OPM efforts to launch the pilot by July 2019.

Additional initiatives promote cross-functional training and knowledge transfer opportunities among HR specialists. A pilot program was launched in August 2015 to allow HR specialists to work and train in other DoD organizations. This program allows employees to rotate into any HR-related division, including Labor/Employee Relations, to receive hands on performance management and conduct training. The Department will look to expand this pilot effort to additional organizations no later than December 2017.

The Defense Human Resources Activity (DHRA), which is responsible for providing enterprise-wide mission support programs, recently launched a comprehensive talent management program to provide developmental opportunities for high-performing employees. The program provides learning and training opportunities for HR and mission support professionals who desire to broaden their HR knowledge beyond their immediate functional area of expertise. Additionally, the program will ensure appropriate tracks for all DHRA employees with functional or professional certification requirements. This program will allow DHRA to incentivize high performance and maximize the capability of each employee.

#### **IV. ENSURE ACCOUNTABILITY IN MANAGER PERFORMANCE PLANS**

Performance management policies established at the department level, as found in DoD Instruction 1400.25, Vol 431, “DoD Civilian Personnel Management System: Performance Management and Appraisal Program,” and associated publications, along with web based and other communication mediums (e.g., information papers, toolkits, desktide Executive/Flag Officer briefings, and Component-managed websites), are designed to ensure supervisors can effectively manage their employees’ performance.

DPMAP policy requires that each time a supervisor logs into the MyPerformance automated tool, the supervisor is required to acknowledge that their role is vital in fostering a fair, credible, and transparent performance program. This action reinforces the importance of ensuring performance elements are linked to organizational performance goals, establishing open communication, monitoring and evaluating employee performance, recognizing and rewarding performance, and appropriately addressing deficient performance.

One means, designed to hold supervisors accountable for their role in performance management, is the requirement that the number of supervisory performance elements in supervisors’ performance plans equal or exceed the number of non-supervisory (technical) performance elements. This means that supervisors’ annual performance ratings and eligibility for awards are based primarily on how successful they are in supervising their employees, in addition to fulfilling their technical job-related duties. Supervisory performance plans will include mandatory performance elements designed to measure how well supervisors communicate expectations, provide feedback, and ensure development of their subordinates. These new supervisory performance standards will be required across the Department once DPMAP is fully implemented in October 2018.

The Department’s revised policy on performance management published in February 2016 mandates training for all supervisors of civilians implementing the new performance management system. For those organizations not yet covered by DPMAP, training is scheduled to be complete by September 2018.

## **Other Innovations Designed to Improve Manager Accountability**

Manager accountability is also a key element of the AcqDemo performance management process. Supervisors are required to conduct performance discussions with their employees at the beginning, mid-point, and end of each appraisal cycle. AcqDemo supervisors then assess their employees at the end of the appraisal cycle and provide their assessment to the organization's leadership for review. These assessments are then reviewed and approved by a pay pool made up of the senior members of the organization with HR support. The process is designed to ensure managers are held accountable for their performance plans and that annual evaluations are fair and balanced from an enterprise perspective.

Collecting and analyzing feedback from employees is another way the Department can ensure managers and supervisors are held accountable for managing employee performance and conduct. The National Geospatial-Intelligence Agency administers an Upward Feedback Survey, which provides employees a way to share feedback with their immediate and second level supervisors. The confidential survey, which was first used in 2016, is open to all direct and second level employees of each supervisor. The results are shared with both the recipient of the feedback and that supervisor's manager to inform performance and development conversations, and are used to inform supervisors on how their subordinates feel about their leadership behaviors, such as providing meaningful work, articulating visions, providing feedback, and developing employees.

## **V. ESTABLISH REAL-TIME MANAGER SUPPORT MECHANISMS**

The Department expects managers and supervisors to manage their employees effectively and deal with performance and conduct issues in a way that is both fair to the employee and consistent with mission requirements. Resources are available at the enterprise level and within Components to assist supervisors, and we have additional initiatives in development that will enhance our ability to provide guidance on managing performance and conduct.

### **Support Resources for Managers and Supervisors**

DoD's on-line Hiring Manager's Toolkit provides a wealth of performance management training resources for managers, including a link to the Performance Management Toolkit, FAQs, training lessons and accompanying training videos, fact sheets, and checklists, which are designed to assist supervisors and managers better manage employee performance and conduct.

Additionally, DCPAS is the HR field advisory service for DoD Components, specifically designed to provide real-time support for supervisors and HR staffs in all areas of the career lifecycle, including performance management and employee conduct. The DCPAS staff includes many of the Department's most experienced HR professionals, who are able to provide advisory service, guidance, and policy interpretation from the Department level to DoD Components and agencies, as well as individual HR specialists and supervisors in areas including labor and employee relations. This organization also performs analysis of performance management laws and regulations, provides technical advice, and represents DoD as a subject matter expert on issues involving OPM and other federal agencies. This centralization of expertise helps to ensure consistency in guidance and helps the Department maximize employee performance.

The Department also encourages use of the OPM’s HR University (HRU) system, which is a public-facing, government-wide training portal that delivers several hundred on-line courses to federal employees. HRU currently provides 38 courses on performance management and conduct, providing a valuable resource for supervisors and managers. Many of these courses are completely free, and may take as little as 1 hour to complete. Supervisors and HR professionals can utilize these courses as a just-in-time training resource. Over 15,000 HR personnel within DoD were registered in HRU as of April 2017.

Another way DoD is working to help managers and supervisors improve employee performance is by finding innovative ways to address performance-related disputes between supervisors and employees. The Department uses an Alternative Dispute Resolution (ADR) process that allows employees to express their concerns about their performance ratings without going through a formal grievance process, working with their management to identify workable solutions. Over the last 2 years, the Department has doubled the size of its ADR outreach program, with a goal to increase the number of cases resolved informally through the use of ADR by 5 percent by December 2018.

**TIMELINE FOR CONTINUING EFFORTS TO MAXIMIZE EMPLOYEE PERFORMANCE  
WITHIN DOD**

<b>Estimated Completion Date</b>	<b>Implementation Action</b>
December 2017	Expand pilot program to allow HR employees to rotate into any HR-related division outside of their organization, including Labor/Employee Relations, to receive hands on performance management and conduct training.
December 2017	Provide all supervisors with a copy of current DoD and Component rules and guidance regarding Performance Improvement Plans, guidance on how unacceptable performance can be addressed pursuant to applicable law and regulation, as well as enhanced templates and tools to help supervisors manage PIPs.
December 2017	Publish DoD guidance regarding WGI delays resulting from placement of employees on a Performance Improvement Plan.
December 2017	Publish revised framework and formal DoD policy on the mandatory Managerial and Supervisory Training Program.
December 2017	Publish DoDI 1400.25, Volume 921, “Senior Professional Performance Management and Compensation”
December 2017	Complete RAND study to assess the feasibility of DoD-wide support provided to managers and supervisors on issues related to performance management and conduct.
September 2018	Complete review of new 2-year probation policy and provide report to Department leadership.

September 2018	Complete Department-wide training for DPMAP.
October 2018	Complete Department-wide implementation of DPMAP, including publishing mandatory performance elements designed to measure how well supervisors communicate expectations, provide feedback, and ensure development of their subordinates.
December 2018	Increase the number of performance-related dispute cases resolved informally through the use of ADR by 5 percent.
December 2018	Complete review of the CORE Equal Employment Opportunity Complaints Resolution pilot program and provide recommendation regarding full implementation to Department leadership.
July 2019	In conjunction with OPM, launch the HR Certification pilot program.

The Department is aware that employees who have resources through which concerns or complaints about equal employment opportunity can be effectively and quickly addressed are part of an environment conducive to high performance. We are therefore piloting a new Air Force complaints resolution program that simplifies the traditional complaint process and shortens resolution timelines by nearly 30 percent. The Compressed, Orderly, Rapid, and Equitable (CORE) pilot program, which was approved by the Equal Employment Opportunity Commission in August 2016, is now in use across the Department of the Air Force. The Department will conduct a review of this process following conclusion of the current pilot and develop a recommendation for the DoD on future implementation by December 2018.

In addition, the Department has engaged with RAND to assess the feasibility of an enterprise-level organization, or alternative strategies, to provide real-time, accessible manager support mechanisms to assist in addressing performance and conduct issues. We expect to complete this study by December 2017.

# Appendix B: Strategy/Initiative Timeline

## GOAL 1

HCOP Milestones	FY 2018				FY 19			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>Strategy 1.1 Identify and strengthen Mission Critical Occupations (MCOs) aligned with strategic priorities</b>								
<b>Strategy Owner:</b> DCPAS P&A; Functional Communities representing priority workforce								
<b>Initiative 1.1.1.1. Establish and implement DoD policy and procedures for determining MCOs to ensure that proper occupations receive priority attention to achieve DoD strategic goals and objectives.</b>								
1.1.1.1. Modify current methodology/process for identifying DoD MCOs		Dec 17						
1.1.1.2. Develop model to identify high risk MCOs.		Dec 17						
1.1.1.3. Beta test process and model with Logistics Functional Community and Components.			May 18					
1.1.1.4. Initiate implementation of new MCO validation process.			Jun 18					
1.1.1.5. Socialize model and beta test efforts with OPM.						Dec 18		
<b>Initiative 1.1.2. Incorporate validated competency models for strategic priority occupations into USA Staffing to ensure hiring of candidates that possess the appropriate competencies to achieve the DoD mission and strategic priorities.</b>								
1.1.2.1. Develop and implement a communication strategy to increase use of competency models in USA Staffing.		Jan 18						
1.1.2.2. Confirm list of competency models for occupations identified as MCOs.						Dec 18		
1.1.2.3 Develop FY 18/19 competency model schedule (new models and updates) based on DoD priorities.							TBD	
1.1.2.4. Submit new MCO competency models for upload into USA Staffing and make available to OFCMs and HR hiring managers.							TBD	
<b>Strategy 1.2 Recruit and retain a highly skilled and agile civilian workforce (HCF: Talent Management)</b>								
<b>Strategy Owner:</b> DCPAS P&A (with OFCM collaboration)								
<b>Initiative 1.2.1. Conduct strategic workforce planning for functional communities with priority occupations to identify staffing and competency gaps and develop HC strategies that ensure a ready and reliable civilian workforce.</b>								
1.2.1.1. Partner with functional communities to identify staffing and/or competency gaps for strategic priority civilian occupations.			Apr 18					
1.2.1.2. Begin development and/or updates to Functional Community SWPs that include strategies for improving staffing and competency gaps and recruitment and retention (Information Technology/Cyber, Intelligence/Counter-Intelligence, Security, and Financial Management).					Sep 18			
1.2.1.3. Implement, monitor, and evaluate progress of SWP strategies for high priority occupations.						Oct 18		
<b>Initiative 1.2.2. Establish &amp; implement skills gap closure strategies for MCOs and priority occupations (to include DoD-wide, and functional community/component-identified occupations).</b>								
1.2.2.1. Identify current ongoing skills gap closure efforts being conducted at the DoD enterprise level.		Jan 18						
1.2.2.2. Begin establishing mission critical list of occupations from Functional Communities and Components based on revised DoD guidance.					Jul 18			
1.2.2.3. Identify priority list of occupational series that require skills gap analysis, based on results of MCO model validation.						Aug 18		

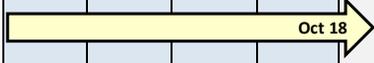
## Rebuild Military Readiness as We Build a More Lethal Joint Force

HCOP Milestones	FY 2018				FY 19			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>Initiative 1.2.3. Establish Functional Community Maturity Model (FCMM) in order to enhance the effectiveness of Functional Community support for the Department.</b>								
1.2.2.4. Identify priority list of occupational series that require skills gap strategies, based on results from previous milestone and completed initial strategic workforce planning analyses.				Aug 18				
1.2.2.5. Develop method to monitor progress of skills gap closure strategies, to include development, implementation, and outcomes/results.						Jan 19		
<b>Initiative 1.2.3. Establish Functional Community Maturity Model (FCMM) in order to enhance the effectiveness of Functional Community support for the Department.</b>								
1.2.3.1. Identify trial functional communities to use as prototypes for model development (Intelligence, Cyber, Medical, and HR).		Nov 17						
1.2.3.2. Commence design of FCMM incorporating lessons learned and best practices in Acquisition and Financial Management Functional Communities.		Jan 18						
1.2.3.3. Complete development of initial FCMM requirements and methodology for conducting pilot study.			Apr 18					
1.2.3.4. Initiate pilot projects to test the FCMM with trial Functional Communities and assess results.				Jul 18				
1.2.3.5. Assess pilot results.						Nov 18		
1.2.3.6. Incorporate lessons learned.							Dec 18	
1.2.3.7. Implement FCMM across all Functional Communities.							Jan 19	
1.2.3.8. Assess all FCs								Jul 19
<b>Strategy 1.3 Improve and sustain Civilian Leadership Development (LD) (HCM: Talent Management)</b>								
<b>Strategy Owner: DCPAS Talent Development</b>								
<b>Initiative 1.3.1. Develop and implement an evaluation system to determine the effectiveness of the Defense Leadership Development Program in order to enhance the leadership development program and maximize employee performance.</b>								
1.3.1.1. Implement evaluation program level 1 thru 3 for DoD-Level Leadership Development Programs (LDPs).		Dec 17						
1.3.1.2. Develop communication strategy to inform and engage stakeholders in the DoD-level LDP program evaluation criteria.		Jan 18						
1.3.1.3. Implement evaluation program level 4 for DoD-level LDPs.		Jan 18						
1.3.1.4. Monitor and evaluate use of program evaluation criteria, data, and tools; modify where necessary.						Quarterly		

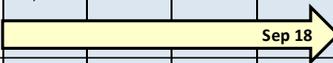
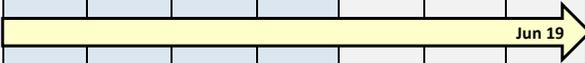
**Strategy 1.4 Improve civilian workforce hiring practices (HCF: Talent Management)**

**Strategy Owner:** Civilian Personnel Policy (CPP), DCPAS

**Initiative 1.4.1. Review and analyze the current inventory of personnel authorities and flexibilities to ensure DoD policies are utilized and effective in meeting DoD workforce requirements.**

<p>1.4.1.1. Identify which authorities will be reviewed. Categorize policies based on parameters, flexibilities, and features.</p>	
<p>1.4.1.2. Identify policy indicators (features/flexibilities) to determine value. Create a database of indicators.</p>	
<p>1.4.1.3. Compare indicators. Identify gaps and inconsistencies. Determine and evaluate why there are differences (root causes). Assess impacts on implementation and operations. Identify opportunities for improvement or where efficiencies can be gained.</p>	
<p>1.4.1.4. Formulate concepts for improving content, execution, and implementation of policies. Triage improvement ideas: try now, try later, or do not bother. Develop plans to improve now and later.</p>	
<p>1.4.1.5. Validate query logic to ensure data collection crosswalks with identified authorities for continuing data analyses.</p>	
<p>1.4.1.6. Begin assessment of authority usage (start with Q3 data)</p>	

**Initiative 1.4.2. Recommend HR Policy Process Model in order to streamline the fielding of HR policies.**

<p>1.4.2.1. Develop "As-is" hiring policy process model to document the full spectrum of policy implementation, including authorization, drafting, coordination, and issuance, as well as post-issuance accessibility, training on use, monitoring of use, evaluation, and updating of policies.</p>	
<p>1.4.2.2. Assess opportunities for improvements; identify options and pros and cons of each and select promising initiatives and establish goals and measures.</p>	
<p>1.4.2.3. Develop/Implement "To Be" hiring policy process model.</p>	
<p>1.4.2.4. Monitor proposed process model through periodic data-driven performance reviews to 1) assess how well policy products serve the needs of customers, and 2) learn how policies and practices can be improved.</p>	
<p>1.4.2.5. Compare actual and desired results and evaluate benefits (tangible/intangible) of changing processes to reach desired end state.</p>	
<p>1.4.2.6. Evaluate revised policy implementation process and recommend design control mechanisms to address issues if necessary.</p>	

HCOP Milestones	FY 2018				FY 19			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>Initiative 1.4.3. Develop Component-level hiring improvement action plans targeted to improve both time and quality of civilian hiring.</b>								
1.4.3.1. Develop action plan approach and content outline. Determine common milestones/metrics, where warranted.	Jan 18							
1.4.3.2. Require Components to submit action plans, including appropriate targets and goals (both general and for specified priority occupations) to improve time and quality of hire. (Required by APP).	Mar 18							
1.4.3.3. Oversee Components' execution of plans, including milestones and measures (quarterly progress/performance reviews). (Required by APP).	Apr 18							
1.4.3.4. Establish hiring improvement forum for discussion, best business practice sharing, and collaboration of approaches.	Jun 18							
1.4.3.5. Develop draft manager/customer satisfaction survey tool for leadership consideration.	Sep 18							
1.4.3.6. Establish quality measures for manager/customer satisfaction with hiring process (Required by DoD APP).	Jun 19							
1.4.3.7. Coordinate customer satisfaction tracking program for implementation.	Aug 19							
1.4.3.8. Implement customer satisfaction tracking program. (Required by DoD APP).	Oct 19							
1.4.3.9. Conduct quarterly performance reviews of Components' hiring efficiency (T2H) and effectiveness (satisfaction survey) (Required by DoD APP).	Oct 19							
<b>Strategy 1.5 Maximize Employee Performance (HCF: Talent Management)</b>								
<b>Strategy Owner: DCPAS</b>								
<b>1.5.1. Develop, publish, and implement policy, resources, and tools to maximize employee performance and retention.</b>								
1.5.1.1. Publish DoD guidance regarding WGI delays resulting from placement of employees on a Performance Improvement Plan.	Jun 18							
1.5.1.2. Publish revised framework and formal DoD policy on the mandatory Managerial and Supervisory Training Program.	May 19							
1.5.1.3. Publish DoDI 1400.25, Volume 921, "Senior Professional Performance Management and Compensation"	Dec 19							
<b>1.5.2. Evaluate and assess performance management factors to improve the Performance Management System and Maximize Employee Performance.</b>								
1.5.2.1. Complete RAND study to assess the feasibility of DoD-wide support provided to managers and supervisors on issues related to performance management and conduct.	Dec							
1.5.2.2. Conduct DPMAP Evaluation	Dec 18							

HCOP Milestones	FY 2018				FY 19			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1.5.2.3. Assess use of 2 year probationary period (pre and post)								
					Dec 18			
1.5.2.4. Secure resource to conduct a study on 2 year probationary use								
					Jun 19			
1.5.2.5. Evaluate the effectiveness of alternative DoD performance programs to include the National Security Agency (NSA) Pilot (Talent, Evaluation, and Advancement (TEA) system) to identify best practices for potential utilization.								
					Sep 19			
<b>1.5.3. Increase awareness and communication of Defense Performance Management Assessment Program (DPMAP) and performance roles and responsibilities to meet Congressional requirement for a transparent and timely performance management system.</b>								
1.5.3.1. Complete Department-wide training for DPMAP, including how well supervisors communicate expectations, provide feedback, and ensure development of their subordinates.								
					Dec 18			
1.5.3.2. Complete Department-wide implementation of DPMAP.								
					Dec 18			
<b>1.5.4. Improve efficiency of the formal and informal complaint processes to minimize the number and cost of formal complaints.</b>								
1.5.4.1. Complete review of the Compressed, Orderly, Rapid and Equitable (CORE) Equal Employment Opportunity Complaints Resolution Air Force pilot program and provide recommendations regarding full implementation to Department leadership.								
					Dec 18			
1.5.4.2. Develop and implement a communication strategy for increasing the awareness and use of the Alternate Dispute Resolution program.								
					Dec 18			
<b>1.5.5. Establish and implement a DoD Work Life DoDI to attract high performers and increase employee engagement.</b>								
1.5.5.1. Research and obtain copies of other Federal agencies' Work Life policies and programs.								
	Oct 17							
1.5.5.2. Complete draft of DoD Work Life policy with Components and Agencies.								
	Apr 18							
1.5.5.3. Coordinate and publish Work/Life DODI								
					Nov 18			
1.5.5.4. Develop and implement a Work Life strategic communication/marketing								
					Nov 18			
1.5.5.5. Develop DoD Work Life, logo and slogan								
					Nov 18			

HCOP Milestones	FY 2018				FY 19			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1.5.5.6. Develop strategic partnerships with external agencies to support the DoD Work Life Program mission.					Jan 19			
1.5.6. Develop, Implement, and Monitor DoD Reduction in Force (RIF) Policy and Procedures to minimize the risk of losing high performers in accordance with the NDAA.								
1.5.6.1. Identify existing policies related to reduction in force that require necessary revisions, with the goals to update and publish revised DoDI 1400.25, Volume 351.					Oct 18			
1.5.6.2. Implement and sustain the new reduction in force procedures with a fully designed, developed, and tested system (Defense Civilian Personnel Data System (DCPDS) and the reduction in force automated processing tool (DCPDS RIF Tool).					Jun 18			
1.5.6.3. Provide required expertise for effective implementation of the new reduction in force policy by training DoD human resources practitioners. The training for this effort was delivered in a train-the-trainer approach, with DoD delivering the training to DoD Component trainers for delivery to Component human resources personnel.					Dec 18			
1.5.6.4. Monitor and report the number of Reduction in Force (RIF) actions to include the performance rating and tenure of RIF actions.					Dec 18			
<b>Strategy 1.6 Institute the Human Capital Operating Plan (HCOP) and HRStat Program (HCF: Evaluation Systems)</b>								
<b>Strategy Owner: CPP, DCPAS, Planning and Accountability</b>								
1.6.1. Develop and Implement FY 18-19 Human Capital Operations Plan to strengthen DoD's ability to achieve agency goals and objectives in accordance with OMB and OPM requirements.								
1.6.1.1. Complete Draft HCOP					Nov 17			
1.6.1.2. Socialize plan with Components (CPPC); seek endorsement					Nov 17			
1.6.1.3. Recommend human capital strategies for inclusion in the ASP					Nov 17			
1.6.1.4. Brief DHRB					Nov 17			
1.6.1.5. Submit "Draft" HCOP to OPM through the max.gov portal					Nov 17			
1.6.1.6. Draft HCOP Strategic Communication Plan					Jan 18			
1.6.1.7. Publish Final FY18-19 HCOP					Feb 18			
1.6.1.8. Develop and initiate HCOP Quarterly Review procedures					Mar 18			
1.6.1.9. Implement HCOP Strategic Communication Plan					Mar 18			
1.6.1.10. Establish and initiate HCOP Annual Review and Update Process.					Oct 18			
1.6.1.11. Complete Draft Annual Revision of HCOP					Jan 19			

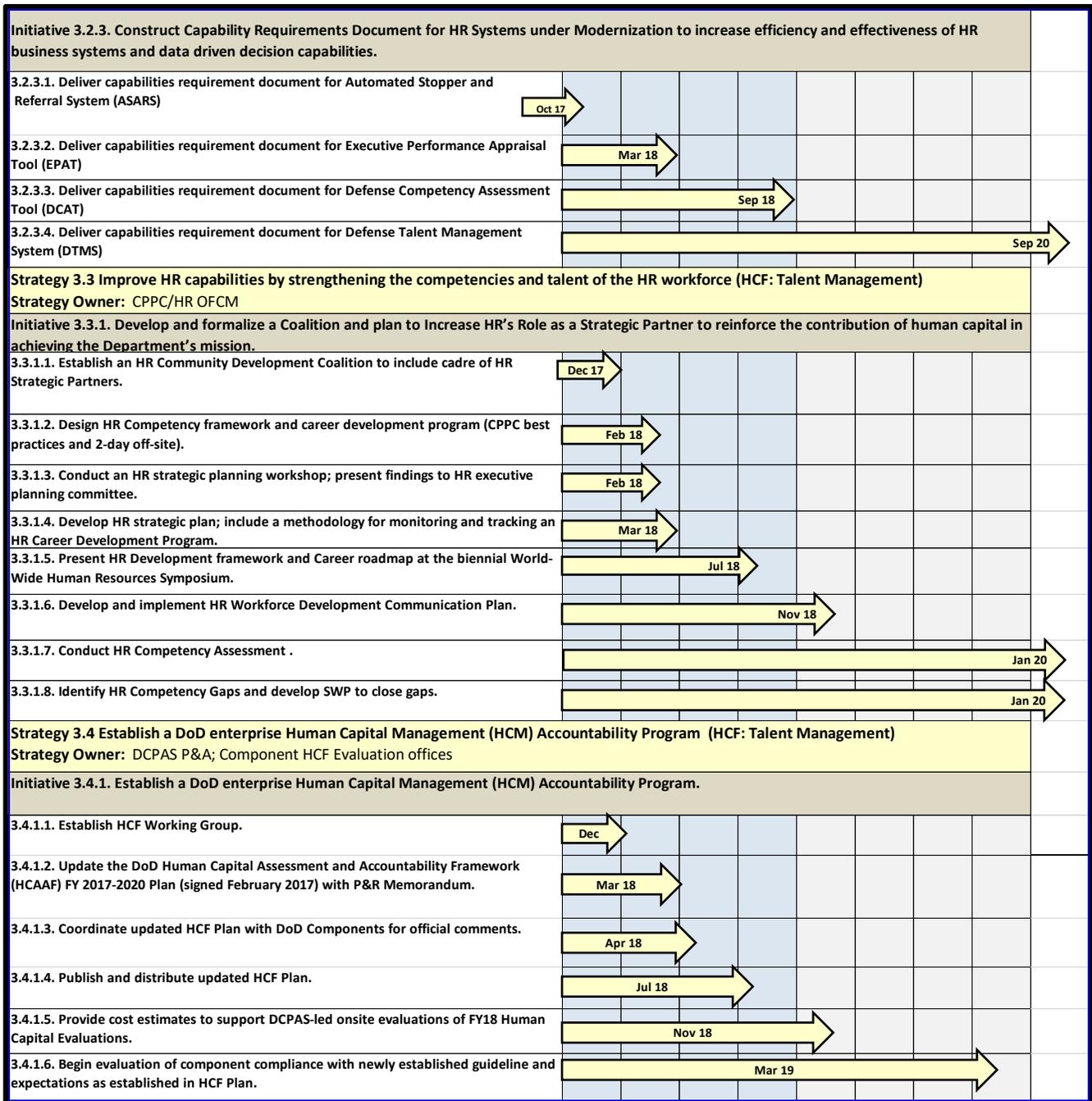
HCOP Milestones	FY 2018				FY 19			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1.6.1.12. Incorporate OPM HCR recommendations into HCOP/HRStat process.								
1.6.2. Develop and Implement HRStat procedures and system to monitor strategic progress and increase leadership communication and support in accordance with OMB and OPM requirements.								
1.6.2.1. Complete draft metrics for current strategies								
1.6.2.2. Complete HRStat Maturity Model								
1.6.2.3. Brief CPPC on HRStat methodology and baseline								
1.6.2.4. Complete draft metrics lexicon (metrics dictionary)								
1.6.2.5. Draft HRStat process (Metric to Report)								
1.6.2.6. Implement Quarterly Review process								
1.6.2.7. Implement OPM's Updated HRStat Maturity Model								

## GOAL 2 – Strengthen Alliances as We Attract New Partners

HCOP Milestones	FY 2018				FY 19			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>Strategy 2.1 Build and Strengthen the Security Cooperation Workforce (HCF: Talent Management)</b>								
<b>Strategy Owner: Defense Security Cooperation Agency (DSCA)</b>								
<b>Initiative 2.1.1. Establish and Implement the SCWDP to achieve DoD’s goal to strengthen alliances and partnerships through reforming the Security Cooperation enterprise in accordance with the NDAA requirement.</b>								
2.1.1.1. DSCA and DoD components identify positions and personnel in the DoD SC workforce.								
2.1.1.2. DSCA submits final DoD SCWDP guidance for signature by the Under Secretary of Defense for Policy.								
2.1.1.3. DSCA implements the first phase of the DoD SCWDP’s training/experience certification program								
2.1.1.4. DSCA and DoD components update DoD Directives, instructions and other issuances to reflect SCWDP requirements.								
2.1.1.5. DCPAS to coordinate SCWDP requirements with DoD components’ Labor Relations obligations.								
2.1.1.6. Director, DSCA will establish and chair a Security Cooperation Workforce Senior Steering Board (SSB).								
2.1.1.7. DoD components update manpower and personnel systems to reflect SCWDP requirements								
2.1.1.8. DSCA implements the final phase of the DoD SCWDP’s training/experience certification program.								
<b>Strategy 2.2. Enhance the DoD Expeditionary Civilian (DoD-EC) Program (HCF: Talent Management)</b>								
<b>Strategy Owner: DCPAS, DoD-EC Program Manager</b>								
<b>Initiative 2.2.1. Implement proactive measures to ensure an appropriate mix of civilian workforce in order to meet DoD’ requirements for deploying civilians</b>								
2.2.1.1. DCPAS will collect input from FCMs on proposed actions and strategies for incorporating expeditionary service into career development maps, as value-added service and experience.								
2.2.1.2. DCPAS will collect human capital strategies from DoD Components to document their plans for ensuring successful achievement of expected results.								
2.2.1.3. DoD Components ensure internal operating procedures are developed as needed to manage the DoD-EC volunteers, hiring, and pre-deployment processing and share best practices at DoD-EC forum.								
2.2.1.4. DoD Components establish policies for sustaining an expeditionary force through use of incentives, marketing, or other tools and share best practices at DoD-EC forum.								
2.2.1.5. Validate data through strategic communication, to include, but not limited to FAQs on how to ensure accuracy in the system.								
2.2.1.6. DoD component responsivity begins for filling DoD-EC position requirements through GFM process.								
2.2.1.7. DoD to track success of filling EC requirements through GFM process.								

## GOAL 3 – Reforming the Department’s Business Practices for Great Performance and Affordability

HCOP Milestones	FY 2018				FY 19				
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
<b>Strategy 3.1 Strengthen Human Capital Strategic partnerships to enhance civilian workforce management and improve HR customer service (HCF: Strategic Alignment)</b>									
<b>Strategy Owner:</b> CPP/DCPAS; Component HR Agencies									
<b>Initiative 3.1.1. Develop and formalize a Coalition and plan to Increase HR's Role as a Strategic partner to reinforce the contribution of human capital in achieving the department's mission.</b>									
3.1.1.1. Establish a DoD HR Strategic Partnership Coalition (accountable, diverse, group bound by opportunity, strategy and action) to develop and implement a plan to strengthen HR's role as a Strategic Partner.	Jan 18								
3.1.1.2. Develop and implement a Human Capital Strategic Partnership Plan that describes the DASP-CPP role and relationship with Senior Management Team.	Mar 18								
3.1.1.3. Develop ongoing strategic communication program to inform and strengthen HR's role in achieving the DoD mission.	Jun 18								
3.1.1.4. Strategically partner with DCPAS policy owners, DMDC, DoD Components, and OPM to leverage technology and develop process maps for HRIT functional requirements and high visibility initiatives affecting DoD civilian workforce.								Sep 19	
3.1.1.5. Develop a plan with embedded strategies and action items that support a model labor and employee relations program.								Dec 19	
3.1.1.6. Strengthen participation of the CHCO in OPM and OMB Federal-wide Human Capital Efforts.								Dec 19	
<b>Strategy 3.2 Invest in Civilian Human Resource Management (CHRM) Information Technology Redesign (HCF: Talent Management)</b>									
<b>Strategy Owner:</b> DCPS, ESID, DHRA									
<b>Initiative 3.2.1. Develop HRM Strategy and Plan for Business Enterprise Architecture Environment to Improve HR business processes</b>									
3.2.1.1. Develop a plan for new HRM Enterprise Architecture.	Oct 17								
3.2.1.2. Conduct working sessions to document the HRM Functional Strategy (FS) strategic initiatives.	Dec 17								
3.2.1.3. Publish the updated HRM FS.	Mar 18								
3.2.1.4. Develop a plan for new Human Resources Management Business Enterprise Architecture (BEA) Environment .								2020	
3.2.1.5. Evaluate and Adjust.								2020	
3.2.1.6. Include Integrated Personnel & Pay.								2020	
<b>Initiative 3.2.2. Identify HRIT Functional Requirements for High Priority and merging Requirements and Collaborate with process owners to increase the efficiency of human capital management and services.</b>									
3.2.2.1. Identify and request system change requirements to support FY 17 and 18 NDDAA.	Mar 18								
3.2.2.2. Develop process map for each DoD HR enterprise information system.	Mar 18								
3.2.2.3. Develop AS-Is process map for HR enterprise systems.								Sep 19	
3.2.2.4. Develop TO-BE process maps for HR enterprise systems.								Sep 20	



## Appendix C: Acronym/Glossary

- Action Items.** The specific activities or tasks that must be completed to accomplish strategic objectives and/or initiatives to include performance metrics, targets, and milestones.
- ADR** Alternative Dispute Resolution is the use of alternative methods (in lieu of formal grievance process) to resolve conflicts involving employees and management within DoD.
- Agency** Executive departments, government corporations and independent establishments excluding the Central Intelligence Agency, the Government Accountability Office, the United States Postal Service, and the Postal Regulatory Commission. For purposes of this report, the Department of Defense is considered the “Agency.”
- APG** **Agency Priority Goal.** A performance goal established to advance the progress of a DoD top priority. DoD Priority Goals may be outcome-focused improvements in mission or management, customer responsiveness, or efficiencies. These priority goals represent results or achievements that DoD leadership wants to accomplish within approximately 24 months that relies predominantly on implementation (as opposed to budget or legislative accomplishments).
- APP** **Agency Performance Plan.** An annual plan that defines the levels of performance expected to be achieved towards strategic objectives within a strategic plan. This plan includes performance goals with performance measures, milestones, and may include DoD Component-level strategic and performance plan and Federal priority goal content. The APP identifies quarterly reporting requirements and performance expectations.
- ARP** **Agency Reform Plan.** The purpose of the ARP is for the head of each agency to identify how she/he proposes to improve the efficiency, effectiveness, and accountability of the respective agencies. The Agency Reform Plan must include proposals for the agency's long-term workforce reduction plan and be aligned with the draft agency strategic plan and is submitted to OMB as part of the FY 2019 Budget submission.
- ASP** **Agency Strategic Plan.** The basic requirements for strategic plans are set forth in Section 3 of the Government Performance and Results Act (GPRA). An agency strategic plan contains the Agency mission statement; and corresponds directly with the agency's core programs and activities. An agency's program goals should flow from the mission statement. The plan includes one or more strategic goals. Also termed "general goal," a strategic goal is a statement of aim or purpose that defines how an agency will carry out a major segment of its mission over a period of time.

**ASARS Automated Stopper & Referral System.** An automated tool that supports the DoD Priority Placement Program through matching the skills of displaced employees with vacant positions at other DoD activities in the authorized area at which the employee is willing to work.

**Attrition.** A measure of the loss of personnel during a specific period (usually expressed as a rate)

**Baseline Metric.** A baseline metric determines the exact starting point for and used as a point of comparison for measuring change or progress.

**BEA Business Enterprise Architecture.** The enterprise architecture for the DoD Business Missions Area and reflects DoD's business transformation priorities; the business capabilities required to support those priorities; and the combinations of enterprise systems and initiatives that enable those capabilities

**CHCO Chief Human Capital Officer.** The agency's senior leader whose primary duty is to: (1) Advise and assist the head of the agency and other agency officials in carrying out the agency's responsibilities for selecting, developing, training, and managing a high-quality productive workforce in accordance with merit system principles; and (2) Implement the rules and regulations of the President, the Office of Personnel Management (OPM), and the laws governing the civil service within the agency.

**CHCM Civilian Human Capital Management.** The process and systems required to effectively manage the life cycle of the civilian workforce.

**CMO Chief Management Officer.** The CMO (formerly known as the Deputy Chief Management Officer (DCMO)) has independent authority to order the secretaries of the Army, Navy and Air Force to implement reforms on matters like business transformation, business planning, performance management, and information technology. The CMO leads the synchronization, integration, and coordination of DoD business functions to ensure optimal alignment in support of the war fighting mission.

**Competency Gap.** A variance between the current workforce competency level and the competency level required. Competencies that meet or exceed the average deficit gap threshold of 0.50 (on a scale of 1.0 to 5.0.) are considered significant.

**Component (of an agency).** Refers to the Office of the Secretary of Defense, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the Department of Defense (referred to collectively in this plan as the "DoD Components").

- CORE** **Compressed, Orderly, Rapid and Equitable** is an Equal Employment Opportunity (EEO) Complaints Resolution program that is being tested by the Air Force.
- CPPC** **Civilian Personnel Policy Council.** The primary executive level forum for the Deputy Assistant Secretary of Defense (DASD) for Civilian Personnel Policy (CPP) to obtain strategic program and operational advice and guidance to support the mission of DoD. The CPPC shall promote and facilitate Department-wide human capital management, both current and future, through input to policy, business practices, information technology standards, integrated solutions, and resources. The CPPC members are DoD senior directors and executive level representatives.
- DASD(CPP)** **Deputy Assistant Secretary of Defense for Civilian Personnel Policy.** DoD's Human Resources policy office. The CPP formulates plans, policies, and programs to manage the civilian workforce effectively and humanely. The CPP supports DoD with personnel policy leadership and with support from the Defense Civilian Personnel Advisory Service (DCPAS). The CPP also manages the non-appropriated fund personnel system and provides guidance for the foreign national employment program within DoD.
- DCAT** **Defense Competency Assessment Tool.** The DoD enterprise-wide automated competency data repository, validation, and assessment tool.
- DCPDS** **Defense Civilian Personnel Data System.** The enterprise automated HR information and transaction processing system for DoD civilian employees. This system contains classification, staffing, training, employee benefits, action tracking for Equal Employment Opportunity complaints, and data retrieval information on DoD civilian employees.
- DHRB** **Defense Human Resources Board.** The primary advisory body to the USD (P&R) in executing Title 10, U.S. Code, and Principal Staff Assistant (PSA) responsibilities for Total Force Management (TFM) across the DoD. The DHRB promotes and facilitates improved DoD-wide total force management, both current and future, through the improved alignment of statutes, policy, business practices, information technology, and resources. In addition, the DHRB considers and advises on matters that are the delegated responsibilities of USD (P&R).
- DLDP** **Defense Leadership Development Program.** DoD's formal civilian leadership development program to include, but not limited to, the White House Leadership Development Program, Vanguard Senior Executive Development Program, Defense Senior Leader Development Program, Executive Leadership Development Program, and Defense Civilian Emerging Leader Program.

- DMDC** **Defense Management Data Center.** Serves under the Office of the Secretary of Defense (OUSD) to collate personnel, manpower, training, financial, and other data for the Department of Defense (DoD).
- DoDI** **Department of Defense Instruction.** Establishes or implements DoD policy and may contain overarching procedures, assign responsibilities, may provide general procedures for implementing the policy and are signed by OSD Component Heads or their Principal Deputies.
- DoD-EC** **DoD Expeditionary Civilians.** A subset of the DoD civilian workforce, who, because of their unique skill sets, are needed to meet complex DoD missions, such as stability, security, transition and reconstruction operations, humanitarian assistance efforts crisis interventions, or contingency operations. The DoD EC workforce can be deployed anywhere around the world to address these operations.
- DPMAP** **Defense Personnel Management Appraisal Program.** A department-wide performance management program. This program links individual performance to DoD values and organization mission and ensures ongoing recognition and communication between employees and supervisors.
- DSCA** **Defense Security Cooperation Agency.** Derects, administers, and provides guidance to the DoD Components and DoD representatives to U.S. missions, for the execution of DoD Security Cooperation programs for which DSCA has responsibility.
- DTMS** **Defense Talent Management System.** The automated executive talent management solution, based on a pre-existing Army tool and subsequently modernized for DoD-wide use.
- End-Strength.** The number of employees onboard at the end of the Fiscal Year (30 September).
- EOD** **Estimated Onboard Date** (start date) for a new hire.
- EPAT** **Executive Performance Appraisal Tool.** The EPAT is a comprehensive tool used to facilitate the feedback and appraisal process for senior executives. EPAT provides the structured framework executives and their raters use at each of three critical performance management stages—creation of a Performance Plan, semi-annual Progress Review, and annual Appraisal—as well as the framework used by Pay Pool Managers to calculate performance-based monetary compensation.
- FC** **Functional Community.** A group of one or more occupational specialties with common functions, competencies, and career paths to accomplish a specific part of the DoD mission.

- FCM** **Functional Community Management.** The workforce planning and management of FCs to ensure mission accomplishment and includes activities such as, but not limited to, developing competency models, assessing workforce competencies, identifying mission-critical workforce gaps; and advocating career development opportunities.
- FCMM** **Functional Community Maturity Model** is a future model that is intended to evaluate the effectiveness and maturity of each DoD FC.
- FEVS** **Federal Employee Viewpoint Survey.** A government-wide survey administered by the Office of Personnel Management (OPM) on an annual basis. The survey focuses on employee perceptions of their work environment and experiences.
- FWPR** **Federal Workforce Priorities Report.** A strategic human capital report, published by OPM that communicates key Government-wide human capital priorities and suggested strategies.
- GFM** **Global Force Management (GFM)** is a process to align the assignment, allocation, and apportionment of forces to combatant commanders in support of the national defense strategy and joint force availability requirements.
- GPRA/MA** **Government Performance and Results Act (GPRA) Modernization Act of 2010.** The law that requires agencies to set strategic goals, measure performance, and report on the degree to which goals are met. The GPRA Modernization Act requires agencies to set long-term goals and objectives as well as specific, near-term performance goals.
- HCF** **Human Capital Framework.** The framework, as described in 5 CFR§ 250, Subpart B, provides direction on human capital planning, implementation, and evaluation in the Federal environment.
- HCOP** **Human Capital Operating Plan.** An agency's human capital implementation document, which describes how an agency will execute the human capital elements stated within Agency Strategic Plan and Annual Performance Plan (APP). Program specific workforce investments and strategies (e.g., hiring, closing skill gaps, etc.) should be incorporated into the APPs as appropriate. The HCOP should clearly execute each of the four systems of the HCF.
- High Risk Mission Critical Occupation.** MCOs that are most at risk for staffing or skill gaps based on recruitment, retention, and environmental indicators.
- HR** **Human Resources.** The population of employees who make up the workforce, business sector, or economy. HR may also refer to the organization that is authorized to perform HR functions such as staffing, compensation, workforce planning and policy, labor and employee relations and more.

- HRIT** **Human Resources Information Technology.** The automated tools and systems that support the management of HR data.
- HRStat** **HRStat** is a strategic human capital performance evaluation process that identifies, measures, and analyzes human capital data to inform the impact of an agency's human capital management on organizational results with the intent to improve human capital outcomes. HRStat is a quarterly review process.
- HRStat Maturity Model** is a diagnostic framework designed to assess the maturity level of an agency's HRStat program, and how the HRStat process contributes to the advancement of an agency's mission, goals, and objectives. The Maturity Model serves as a practical and aspirational roadmap that will help agencies identify areas for improvement and enable them to monitor their progress over time.
- MCO** **Mission-Critical Occupation.** An occupation having the potential to put a strategic program or goal at risk of failure related to human capital deficiencies.
- Metrics** A value that indicates the state or level of quality of that which is being measured. Metrics are measurements, either qualitative or quantitative, that provide a basis for evaluating effectiveness and efficiency of performance.
- Milestones** A scheduled event signifying the completion of a major deliverable or a phase of work
- NDAA** **National Defense Authorization Act.** The annual appropriations authority for military activities of the DoD, military construction, and for defense activities of the Department of Energy.
- NDS** **National Defense Strategy.** Serves as the DoD Capstone document that establishes the objectives for the plans for military force structure, force modernization, business processes, supporting infrastructure, and required resource.
- National Defense Business Operations Plan.** The supplemental document to the National Defense Strategy that includes the initiatives, milestones, and performance plan for achieving strategic goals.
- OFCM** **Office of the Secretary of Defense, Functional Community Manager.** The Senior Executive designated by OSD Principal Staff Assistants to lead strategic workforce planning efforts, and provide insight and direction into mission and workforce requirements for a specific DoD functional community. OFCMs monitor and track implementation of Strategic Human Capital Planning initiatives in coordination with DASD (CPP), the DoD Components, manpower, financial management, and HR professionals.

- OMB** **Office of Management and Budget** serves the President of the United States in overseeing the implementation of his policy, budget, management and regulatory objectives and to fulfill the agency's statutory responsibilities.
- OPM** **Office of Personnel Management.** OPM provides human resources, leadership, and support to Federal agencies to include policy and oversight for all policy created to support Federal human resources departments — from classification and qualifications systems to hiring authorities and from performance management to pay, leave, and benefits.
- Performance Metric.** A target level of performance expressed as a tangible, measurable objective against which actual performance can be compared, including a goal expressed as a quantitative or qualitative standard, value, or rate. Performance measures are directly linked to one or more metrics (targets).
- Priority Occupations.** Specific occupational series identified in the Business Operating Plan as key to achieving specific agency goals and objectives.
- RIF** **Reduction in Force.** Refers to the process for reducing the DoD civilian workforce in both competitive and excepted service.
- RPA** **Request for Personnel Action.** The documentation that is submitted to initiate the request for personnel action to include hiring actions.
- SCWDP** **Security Cooperation Workforce Development Plan.** A plan to improve the quality and professionalism of the security cooperation workforce in accordance with the NDAA for FY 2017, P.L. 114-328.
- Skills Gap.** A variance between the current and projected workforce size and skills needed to ensure an agency has a cadre of talent available to meet its mission and make progress towards achieving its goals and objectives now and into the future.
- Strategy Owner.** The designated office responsible for oversight of a specified HCOP strategy to include providing quarterly metrics, tracking and completing milestones, identifying required resources, obstacles, accomplishments, and recommending changes or revisions to leadership.

**SWP**     **Strategic Workforce Plan.** A three to five year workforce plan that identifies mission-driven workforce requirements for recruitment, workforce shaping, development, talent management and succession to meet future staffing needs of specific civilian workforce populations such as functional communities, specific occupational series, and organizations and components. The SWP process includes the assessment of critical skills and competencies needed in the future within the civilian employee workforce to support DoD’s mission, goals and strategies.

**Target Metric.** Quantifiable measure typically expressed as a number that tells how well or at what level an agency or one of its components aspires to perform. In setting and communicating targets, where available, agencies should include the baseline value from which the target change is calculated.

**TEA**     **Talent, Evaluation, and Advancement (TEA).** An employee performance management system that is being piloted by the National Security Agency (NSA).

**TTH**     **Time to Hire.** The average number of days to hire employees for a specific population and time period. The time begins from the date a Request for Personnel Action (RPA) is issued and ends on the date the employee is onboard.

**USA Staffing.** A federal-wide automated hiring tool administered by OPM. The tool will be replaced by USA Hire that provides additional applications and tools.

## Appendix D: References and Authorities

Defense Civilian Personnel Advisory Services (DCPAS) Strategic Management Plan (FY17-22)  
<https://www.cpms.osd.mil>

Defense Human Resources Agency (DHRA) Strategic Management Plan (Apr 2017)  
[www.dhra.mil](http://www.dhra.mil)

Department of Defense (DoD) FY Fiscal Year (FY) 18-22 Agency Performance Plan (*when released*)  
<http://dcmo.defense.gov>

Department of Defense (DoD) Fiscal Year (FY) 18-22 Agency Strategic Plan (*when released*)  
<http://dcmo.defense.gov>

Directive-type Memorandum (DTM)-17-004, Department of Defense Expeditionary Civilian Workforce <http://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dtm/DTM-17-004.pdf>

Federal Workforce Priorities Report  
<https://www.opm.gov/policy-data-oversight/human-capital-management/federal-workforce-priorities-report/2018-federal-workforce-priorities-report.pdf>

Government Performance and Results Act Modernization Act of 2010 (GPRAMA)  
<https://www.gpo.gov/fdsys/pkg/PLAW-111publ352/pdf/PLAW-111publ352.pdf>

Human Capital Framework (HCF)  
<https://www.opm.gov/policy-data-oversight/human-capital-management/>

National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2010, Public Law No. 111-84  
<https://www.gpo.gov/fdsys/pkg/PLAW-111publ84/content-detail.html>

National Defense Strategy  
<https://www.defense.gov/Portals/1/Documents/pubs/2018-National-Defense-Strategy-Summary.pdf>

National Defense Business Operations Plan  
<http://cmo.defense.gov/Publications/NDBOP.aspx>

Office of Management and Budget (OMB) Memorandum M-17-22, Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Civilian Workforce  
<https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/memoranda/2017/M-17-22.pdf>

President's Management Agenda  
<https://www.whitehouse.gov/omb/management/pma>

Title 5, Civilian Federal Regulation (CFR), Subpart B250  
<https://www.gpo.gov/fdsys/pkg/FR-2016-12-12/pdf/2016-29600.pdf>

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