Department of Defense
INSTRUCTION

USD(P&R)

SUBJECT: DoD Civilian Personnel Management System: Civilian Personnel Information
                   Systems

References: See Enclosure 1

1. PURPOSE

    a. Instruction. This Instruction is composed of several volumes, each containing its own
purpose. The purpose of the overall Instruction is to establish and implement policy, establish
uniform DoD-wide procedures, provide guidelines and model programs, delegate authority, and
assign responsibilities regarding civilian personnel management within the Department of
Defense.

    b. Volume. This Volume implements DoD policy in DoD Directive 1400.25 (Reference (a))
and should be interpreted and applied consistent with subtitle III of title 40, United States Code
(U.S.C.), and sections 2223 and 2224 of title 10, U.S.C. (References (b) and (c)). This Volume
also implements policy and procedures for the enterprise-wide Defense Civilian Personnel Data
System (DCPDS), which is the automated human resources (HR) information and transaction
processing system for DoD civilian employees.

2. APPLICABILITY. This Volume applies to OSD, 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 (except the
National Geospatial-Intelligence Agency, the National Security Agency, and the Defense
Intelligence Agency), the DoD Field Activities, and all other organizational entities in the
Department of Defense (hereafter referred to collectively as the "DoD Components").

3. DEFINITIONS. See Glossary.

4. <u>POLICY</u>. It is DoD policy in accordance with Reference (a) that:

    a. The Department of Defense has a single enterprise-wide civilian automated HR information system, DCPDS, with a standard configuration for personnel action processing and data retrieval.

        (1) The DoD Components must get CPMS approval to deviate from standard DCPDS information technology (IT) applications, which currently consist of Oracle HR, Oracle Self Service, the Core Document Development System (COREDOC), the Complaints Action Tracking System (CATS),AutoRIF, and Pay for Performance.

        (2) CPMS approval is required to develop, enhance, or buy DoD Component-unique civilian human resources management (HRM) systems, modules, or software applications.

        (3) CPMS approval is required to make later changes to approved systems, modules, or applications. The DoD Components shall ensure that subordinate activities do not make changes or enhancements to approved systems, modules, or applications without prior coordination and approval.

        (4) CPMS approval is required for the DoD Components to deviate from their approved regionalization plans dealing with HR service delivery.

    b. CPMS provides a chair for the DCPDS Change Control Board (CCB) and the DCPDS Engineering Review Board (ERB). These boards review, approve, and prioritize recommended changes to DCPDS.

    c. CPMS maintains the DCPDS security program, including the Chair of the DCPDS Computer Security Working Group (CSWG), security testing, system patches, and management of the intrusion detection effort. The Director, CPMS, serves as the designated approving authority (DAA) for DCPDS according to DoD Instruction 8510.01 (Reference (d)), oversees security certification and accreditation, and approves or disapproves system operations based on the level of security risk identified.

    d. The DCPDS technical vendor provides periodic software patches, updates, new releases, and other changes to DCPDS software. These patches fall into five major categories: weekly table updates, bi-weekly patches, quarterly patches, Federal releases, and emergency patches. These patches are generated through DCPDS Change Request Transmittals (CRTs), DCPDS System Change Requests (SCRs), routine table changes, Oracle Federal HR software patches, security patches, and DCPDS Problem Report (PR) repairs.

    e. The DoD Components and non-DoD customer agencies may submit requests for system support services, unique requirements, or other changes related to DCPDS. These requests (e.g., time and materials delivery orders) require a modification to the DCPDS sustainment contract and are approved by CPMS based on desired outcome, cost, and schedule criteria. SCRs must be

approved by the DCPDS CCB. Each DoD Component or non-DoD customer agency shall initiate and support its task order.

5. <u>RESPONSIBILITIES</u>. See Enclosure 2.

6. <u>PROCEDURES</u>. See Enclosure 3.

7. <u>INFORMATION REQUIREMENTS</u>. DCPDS is exempt from licensing according to paragraph C4.4.2. of DoD 8910.1-M (Reference (e)).

8. <u>RELEASABILITY</u>. UNLIMITED. This Volume is approved for public release and is available on the Internet from the DoD Issuances Website at http://www.dtic.mil/whs/directives.

9. <u>EFFECTIVE DATE</u>. This Volume is effective immediately.

Enclosures
    1. References
    2. Responsibilities
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ENCLOSURE 1

REFERENCES

(a)   DoD Directive 1400.25, "DoD Civilian Personnel Management System,"
      November 25, 1996
(b)   Subtitle III of title 40, United States Code
(c)   Sections 2223 and 2224 of title 10, United States Code
(d)   DoD Instruction 8510.01, "DoD Information Assurance Certification and Accreditation
      Process (DIACAP)," November 28, 2007
(e)   DoD 8910.1-M, "Department of Defense Procedures for Management of Information
      Requirements," June 30, 1998
(f)   DoD Directive 8500.01E, "Information Assurance (IA)," October 24, 2002
(g)   DoD 5200.1-R, "Information Security Program," January 1997
(h)   DoD Instruction 5000.02, "Operation of the Defense Acquisition System," December 8,
      2008

ENCLOSURE 2

RESPONSIBILITIES

1. <u>UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (USD(P&R))</u>. The USD(P&R), as the DoD official responsible for the HRM domain, shall ensure that civilian HR data is maintained and available to authorized users throughout the Department of Defense.

2. <u>DEPUTY UNDER SECRETARY OF DEFENSE FOR CIVILIAN PERSONNEL POLICY (DUSD(CPP))</u>. The DUSD(CPP), under the authority, direction, and control of the USD(P&R), is responsible for developing and recommending uniform DoD-wide civilian personnel policies and for the procedures, programs, and guidance in Reference (a) and this Volume.

3. <u>DEPUTY UNDER SECRETARY OF DEFENSE FOR PROGRAM INTEGRATION (DUSD(PI))</u>. The DUSD(PI), under the authority, direction, and control of the USD(P&R), shall serve as the Acquisition Executive for DCPDS.

4. <u>DIRECTOR, CPMS</u>. The Director, CPMS, under the authority, direction, and control of the USD(P&R), shall:

   a. Provide technical and functional oversight of DCPDS (including technology refresh, system and security updates, and procurement of new technology) and support for standard Defense-wide DCPDS changes authorized by the CCB and ERB.

   b. Administer and chair the DCPDS Executive Committee.

   c. Appoint a CPMS staff member to serve as chair and alternate chair for the CCB and ERB, resolve conflicts between these boards, and direct the DCPDS vendor to administer approved ERB and CCB SCRs.

   d. Serve as DAA for DCPDS according to DoD Directive 8500.01E (Reference (f)).

      (1) Ensure adequate security oversight and protection of DCPDS official information according to DoD 5200.1-R (Reference (g)).

      (2) Ensure that appropriate security risk assessments are done for significant changes to DCPDS, including formal information assurance (IA) validations according to Reference (d).

      (3) Appoint a CPMS Certification Authority for an independent assessment on IA validations according to Reference (d).

(4) Appoint a CPMS staff member to serve as DCPDS Information Assurance Manager (IAM) and to chair the CSWG; ensure policies and requirements are included in the System Security Authorization Agreement; ensure DCPDS software incorporates Defense Information Systems Agency security patches; and manage the intrusion detection effort.

(5) Appoint a program manager to oversee DCPDS contract support.

(6) Conduct periodic Post Implementation Review (PIR) efforts as appropriate to evaluate DCPDS, identify problems, and measure functional program benefits.

(7) Ensure DCPDS is compliant with all Privacy Act and personally identifiable information requirements.

5. <u>HEADS OF THE DoD COMPONENTS</u>. The Heads of the DoD Components shall:

a. Fund approved DoD Component-unique DCPDS requirements.

b. Submit PRs for system problems and CRTs and SCRs for system changes and enhancements.

c. Provide Government personnel as representatives for the DCPDS CCB, ERB, Executive Committee, component project manager (PM) meetings, and System Change Request Working Group (SCRWG) as dictated by the appropriate group charter or implementing documents.

d. Secure CPMS approval before developing, enhancing, or buying DoD Component-unique civilian HR systems, modules, or software applications.

e. Ensure compliance with DCPDS security and access policies, procedures, and standards for their system users.

f. Ensure that persons appointed to positions dealing with DCPDS are provided security education and training on the protection of DCPDS official information.

g. Buy and maintain the necessary infrastructure to support the enterprise-wide DCPDS.

h. Support testing of DCPDS software releases.

i. Fully test third-party software releases prior to implementation.

ENCLOSURE 3

PROCEDURES

1. <u>ROUTINE, REGULATORY, AND POLICY SYSTEM CHANGES</u>. Routine system changes involving normal maintenance repairs and software changes resulting from law, regulation, or DoD policy are processed as PRs or CRTs. These changes do not require CCB review; however, CPMS uses DCPDS tracking tools to obtain DoD Component coordination and monitor development status.

2. <u>SCR PROCESSING</u>. SCRs are system enhancements. CPMS, the DoD Components, and non-DoD customer agencies use a DCPDS requirements document-tracking tool to create, coordinate, and track SCRs. Each quarter, the SCRWG and CCB review and prioritize SCRs. The ERB reviews the effect of SCRs on the DCPDS technical configuration. The Executive Director, CPMS, Human Resources Business, Information, and Technology Solutions, approves and forwards the top-ranked SCRs to the DCPDS vendor for development and implementation in the next quarterly patch release.

3. <u>SOFTWARE RELEASES AND UPDATES</u>. CPMS, the DoD Components, and non-DoD customer agencies test all system changes before release. In addition, as provided for the applicable contract documents, the contractor provides documentation to CPMS outlining the items and load instructions for each software release. CPMS provides this guidance to specific DCPDS users through e-mail. Usually, as required by the applicable contract, the contractor applies system changes during non-duty hours.

4. <u>DCPDS IA</u>. DoD Component CSWG members submit all systems documentation influencing DCPDS security to CPMS for review. Changes to DCPDS are submitted to the CCB or ERB for consideration.

5. <u>NON-STANDARD HR IT</u>

　　a. The DoD Components must submit requests to the Director, CPMS, to deviate from standard DCPDS IT applications. Requests should include the application name, functional and technical description, number of activities and HR offices where the application will be deployed, total serviced population on full deployment, deployment timetable, and a business case analysis.

b. The criteria that shall be used to evaluate DoD Component requests for non-standard HR technology are:

(1) Functions automated by the application must be within the traditional coverage of HR functions. The request should provide documentation on the business processes to be automated and any reengineering efforts shown in the proposed automated solution.

(2) The DoD Component shall require that the DoD Component-unique system, module, or application be used exclusively within the DoD Component for the covered HR function unless the DoD Component headquarters and CPMS approve an exception. System requirements for the DoD functional communities must be coordinated through the DoD Components and CPMS.

(3) The DoD Component-unique system, module, or application shall use standard DCPDS data elements in prescribed ways.

(4) The decision to develop, enhance, or buy a DoD Component-unique system, module, or application must be based on a business case analysis that provides a cost-benefit comparison of the alternatives, to include such factors as development, customization, maintenance, conversion, and implementation costs; potential future upgrade costs; and overhead costs. The selected solution must yield a positive benefit-to-cost comparison and must be approved by CPMS prior to any solution development.

(5) The computing and telecommunications equipment required for the DoD Component-unique system, module, or application may be readily redirected by the DoD Component for other uses on the availability of a corporate DCPDS module or application.

(6) The proposed DoD Component-unique system, module, or application complies with DoD security requirements and DCPDS security procedures and does not compromise the DCPDS security posture in accordance with the DCPDS Systems Security Authorization Agreement.

(7) The DoD Component-unique system, module, or application does not have a negative impact on DCPDS performance or operations.

c. The process that shall be used to review DoD Component requests is:

(1) The Director, CPMS, shall provide a written decision with the basis for approval or disapproval to the DoD Component within 60 days of receipt of the written request.

(2) If a determination cannot be made within 60 days, an interim status shall be provided to the DoD Component explaining the reasons for the delay and establishing a tentative determination date.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

CATS   Complaints Action Tracking System
CCB   Change Control Board
CMIS   Corporate Management Information System
COREDOC   Core Document Development System
CRT   Change Request Transmittals
CSU   Customer Support Unit
CSWG   Computer Security Working Group

DAA   designated approving authority
DCPDS   Defense Civilian Personnel Data System
DFAS   Defense Finance and Accounting Service
DIACAP   DoD Information Assurance Certification and Accreditation Process
DLA   Defense Logistics Agency
DUSD(CPP)   Deputy Under Secretary of Defense for Civilian Personnel Policy
DUSD(PI)   Deputy Under Secretary of Defense for Program Integration

EEO   equal employment opportunity
ERB   Engineering Review Board

HR   human resources
HRM   human resources management

IA   information assurance
IAM   information assurance manager
IT   information technology

PIR   Post Implementation Review
PM   project manager
PR   problem report

RIF   reduction in force

SCR   System Change Request
SCRWG   System Change Request Working Group

U.S.C.   United States Code
USD(P&R)   Under Secretary of Defense for Personnel and Readiness
USD(P&R)   Under Secretary of Defense for Personnel and Readiness

WHS   Washington Headquarters Services

PART II. DEFINITIONS

Unless otherwise noted, these terms and their definitions are for the purposes of this Volume.

AutoRIF. An automated reduction-in-force (RIF) processing application that uses data from DCPDS to assist and simplify RIF processing. It complies with RIF regulations and provides the capability to track employees, RIF actions, and qualification decisions. AutoRIF produces retention registers, tenure listings, and RIF notices.

DCPDS. The DoD enterprise-wide automated HR information and transaction processing system for DoD civilian employees. This system contains classification, staffing, training, employee benefits, Equal Employment Opportunity (EEO) complaints action tracking, and data retrieval information on DoD civilian employees. Each DoD HR Regional Service Center uses DCPDS to process its civilian HR actions. Data from DCPDS flows to Customer Support Unit (CSU) databases at each Regional HR office, as well as to the Corporate Management Information System (CMIS). These databases are read and query only. In addition, personnel data also flow to a variety of external interfaces, some of which are bi-directional.

DCPDS CATS. A DCPDS module that documents and tracks EEO complaint activity.

DCPDS CCB. A board established to support DCPDS Acquisition Program management according to DoD Instruction 5000.02 (Reference (h)). The board reviews, prioritizes, and approves DCPDS SCRs. It is comprised of Government representatives from CPMS, the DoD Components (e.g., the Air Force, Army, and Navy), non-DoD customer agencies, the Defense Logistics Agency (DLA), and the Defense Finance and Accounting Service (DFAS) Office of Civilian Pay Policy. Washington Headquarters Services (WHS) represents all other Defense Agencies.

DCPDS CMIS. A data warehouse system comprised of current and historical data on all DoD civilian employees serviced by DCPDS. Tools for extracting data include the business objects query tool, the web intelligence query tool, direct structured query language queries, and manager dashboards. Users may obtain reporting data through standard corporate reports, ad hoc queries, or standard dashboard metrics.

DCPDS component PMs. Officials who support DCPDS Acquisition Program management according to Reference (h). Each DoD Component and non-DoD customer agency has a PM who provides its unique functional and technical support to the DCPDS Acquisition Program Manager. PM meetings are comprised of representatives from CPMS, the DoD Components, non-DoD customer agencies, DLA, and the DFAS Office of Civilian Pay Policy. WHS represents all other Defense Agencies.

DCPDS COREDOC. An application that automates the position classification process. It produces a core document consisting of the position description, performance management plan, and the position knowledge, skills, and abilities used for recruitment.

DCPDS CRT. A code addition or change resulting from a Federal regulation, DoD policy, or other directing authority. CRTs are used for updates to existing lists of value elements and pay tables. A CRT may also be used to correct or supplement a previously approved SCR or CRT.

DCPDS CSU. A distributed database and application used for data retrieval and standard and ad hoc reporting in support of civilian employee program management.

DCPDS CSWG. A working group supporting DCPDS that focuses on the implementation of DoD and Federal IA regulations and laws, and on reviewing and commenting on IA-related documents, specifications, and concepts of operation; on IA validation plans, results, and operating procedures; and on security patches and other program documents including SCRs. The CSWG is comprised of Government representatives from CPMS and the DoD Components and is supported by the DCPDS sustainment contractor. The CSWG supports DCPDS security policies and procedures in the System Security Authorization Agreement according to Reference (d)).

DCPDS ERB. A review board established to support DCPDS Acquisition Program management according to Reference (h). The board reviews, approves, and recommends priorities for DCPDS technical configuration changes (e.g., hardware, communications, and operating systems). It is comprised of Government technical representatives from CPMS, the DoD Components, non-DoD customer agencies, DLA, and the DFAS Office of Civilian Pay Policy. WHS represents all other Defense Agencies.

DCPDS Executive Committee. A committee established to support DCPDS Acquisition Program management according to Reference (h). It is comprised of executive-level functional representatives from CPMS, the DoD Components, DLA, and the DFAS Office of Civilian Pay Policy. WHS represents all other Defense Agencies. It provides strategic acquisition program policy and guidance to the DoD community.

DCPDS Oracle HR. The DCPDS enterprise computer software that provides the core personnel transaction processing on behalf of the Department of Defense. This Oracle-based system processes personnel actions, establishes and maintains the civilian HR database, reports civilian HR data, and provides management inquiry capability.

DCPDS PR. The official documentation of a problem that exists in the system for which a repair is required. PRs are generated when the system is malfunctioning or not operating properly. PRs are rated by severity level.

   Severity Level 1. System problems that prevent the accomplishment of an operational or mission-essential capability (i.e., a complete and major functionality failure). This level also applies to complete system unavailability during normal business hours.

   Severity Level 2. System problems adversely influencing the accomplishment of an operational or mission-essential capability and an acceptable work-around solution does not exist.

Severity Level 3. System problems adversely influencing the accomplishment of an operational or mission-essential capability but an acceptable work-around solution exists.

Severity Level 4. System problems resulting in an inconvenience or annoyance for system users but that do not prevent the accomplishment of responsibilities.

DCPDS SCR. New system capabilities desired or required by CPMS or a DoD Component resulting from modified business practices or DoD Component regulatory changes. They are reviewed and approved by the DCPDS CCB.

DCPDS Systems Innovation Subcommittee. A DCPDS CCB subcommittee that reviews new products and applications (e.g., commercial-off-the-shelf (COTS) and Government-off-the-shelf software, DoD-developed software, and custom applications) to improve the functionality of the DCPDS enterprise system. Its members consist of representatives from CPMS, the DoD Components, and non-DoD customers.

HRM domain. A part of the business mission area currently managed by the DoD Business Transformation Agency that is under the oversight of the USD(P&R) and that focuses on the management of HRM systems for civilian personnel management, military personnel management, and military health.

IA validation. Examination and analysis of the safeguards required to protect an IT system and its data, as they have been applied in an operational environment, to establish the security posture of that system.

non-DoD customer agencies. Federal agencies other than the Department of Defense that use DCPDS.

Oracle HR Self-Service. A functionality that represents the next level of automation in DCPDS and is the latest evolution in HR management. Self-Service provides the means for employees and managers to view and, in some cases, update both their personal and HR information. By providing this capability, HR specialists will be relieved from responding to routine questions regarding an employee's personnel data, allowing them to concentrate on other priorities. An emerging feature is the ability to participate in on-line performance planning from development of the performance plan through completion of the appraisal process. In addition, this functionality can be used to track and report on employee skills, language expertise, locations in emergency situations, and recent mission-related training.

PIR. A review conducted within 6 months following the attainment of full operational capability (FOC) to assess the extent to which a developed system (e.g., DCPDS) has achieved the benefits established at the program outset. CPMS conducted three PIRs in the years following DCPDS FOC in September 2002.

Resumix.® A COTS software application that interfaces with DCPDS and automates the merit promotion recruitment and staffing process. Resumix® is currently being replaced by an enterprise staffing solution.