



# Department of Defense INSTRUCTION

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April 17, 2012

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USD(P&R)

**SUBJECT:** DoD Civilian Personnel Management System: Defense Civilian Intelligence Personnel System (DCIPS) Program Evaluation

**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, in accordance with the authority in DoD Directive (DoDD) 5124.02 (Reference (a)), is to establish and implement policy, establish procedures, provide guidelines and model programs, delegate authority, and assign responsibilities regarding civilian personnel management within the DoD.

### b. Volume

(1) 2000 Volume Series. The 2000 Volume series of this Instruction, in accordance with the authority in Reference (a) and DoDDs 5143.01, 1400.25, and 1400.35 (References (b), (c), and (d)), establishes policy, assigns responsibilities, and provides guidance for DCIPS.

(2) This Volume. This Volume of this Instruction, in accordance with the authority in References (a) and (b), the guidance in References (c) and (d), and pursuant to section 1601 of title 10, United States Code (Reference (e)), implements policies and assigns responsibilities for evaluating the effectiveness of DCIPS.

## 2. APPLICABILITY. This Volume:

a. 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, the DoD Field Activities, and all other organizational entities within the DoD (hereinafter referred to collectively as the "DoD Components").

b. Does NOT apply to employees covered by the Federal Wage System or equivalent, non-appropriated fund employees, or foreign national employees. It does not apply to members of

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the Defense Intelligence Senior Executive System or the Defense Intelligence Senior Level unless specifically addressed in other volumes of this Instruction.

3. POLICY. It is DoD policy that the DCIPS shall be evaluated on a regular basis as a collective responsibility of DoD Components with DCIPS positions and the Under Secretary of Defense for Intelligence (USD(I)). Evaluations will address progress in achieving human capital goals and examine human capital trends in the Defense Intelligence Enterprise. In addition, evaluations will be designed to determine the effectiveness of DCIPS in contributing to the DoD human capital strategy. Evaluations shall address the specific application and results of DCIPS policies, procedures, and programs in addition to the more general dynamics and responsiveness of DCIPS to the mission and strategic goals of the Defense and Intelligence Communities.

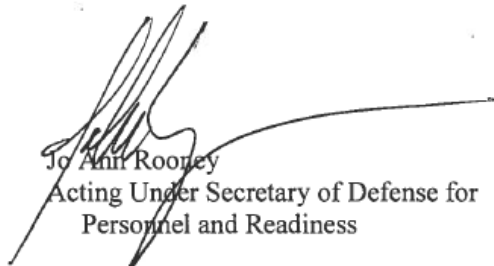
4. RESPONSIBILITIES. See Enclosure 2.

5. PROCEDURES. See Enclosure 3.

6. INFORMATION REQUIREMENTS. Each DCIPS evaluation reporting requirement described in this issuance shall be assigned a report control symbol in accordance with the procedures in DoD 8910.1-M (Reference (f)).

7. RELEASABILITY. 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>.

8. EFFECTIVE DATE. This Volume is effective April 17, 2012, pursuant to section 1613 of Reference (e).

  
Jo Ann Rooney  
Acting Under Secretary of Defense for  
Personnel and Readiness

Enclosures

1. References
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Glossary

ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5124.02, "Under Secretary of Defense for Personnel and Readiness USD(P&R)," June 23, 2008
- (b) DoD Directive 5143.01, "Under Secretary of Defense for Intelligence (USD(I))," November 23, 2005
- (c) DoD Directive 1400.25, "DoD Civilian Personnel Management System," November 25, 1996
- (d) DoD Directive 1400.35, "Defense Civilian Intelligence Personnel System (DCIPS)," September 24, 2007
- (e) Sections 1601-1614 of title 10, United States Code
- (f) DoD 8910.1-M, "DoD Procedures for Management of Information Requirements," June 30, 1998
- (g) DoD Instruction 1100.13, "Surveys of DoD Personnel," November 21, 1996

ENCLOSURE 2

RESPONSIBILITIES

1. UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (USD(P&R)). The USD(P&R) shall:

- a. Consult with the USD(I) on the establishment and implementation of human capital system metrics and analytical methodologies.
- b. Coordinate with the USD(I) on the development of DCIPS policies and practices and monitor their effects on DoD-wide personnel readiness.

2. USD(I). The USD(I) shall:

- a. Design and implement a program for regular enterprise-wide evaluation of mission impacts and operational effectiveness of DCIPS.
- b. Establish and utilize human capital metrics and methodologies for the evaluation of DCIPS effectiveness.
- c. Revise DCIPS policy in conjunction with the USD(P&R) based on regular and special evaluations of DCIPS.

3. CHAIR, DEFENSE INTELLIGENCE HUMAN RESOURCES BOARD (DIHRB). The DIHRB Chair, under the authority, direction, and control of the USD(I), shall:

- a. Advise and provide recommendations to the USD(I) on the development of DCIPS evaluation metrics, methodologies, plans, and schedules and identify areas of focus for evaluation.
- b. Review evaluation reports and provide recommendations to the USD(I) on the implications of DIHRB findings on enterprise-wide management of DCIPS.

4. DIRECTOR, HUMAN CAPITAL MANAGEMENT OFFICE (HCMO). The Director, HCMO, under the authority, direction, and control of the USD(I) , shall:

- a. Plan, lead, and provide reports on all DCIPS evaluations.
- b. Develop, coordinate, and approve metrics and methodologies for DCIPS evaluations in coordination with the Heads of the DoD Components, DIHRB Chair, and the USD(P&R).

c. Consult with the Heads of the DoD Components with DCIPS positions on internal evaluations of DCIPS policy and practices.

5. HEADS OF THE DoD COMPONENTS WITH DCIPS POSITIONS. The Heads of the DoD Components with DCIPS positions shall:

a. Conduct internal evaluations of the effectiveness of DCIPS in coordination with the USD(I).

b. Maintain a program that provides required reporting in support of enterprise-wide evaluations initiated by the USD(I).

c. Take appropriate actions in response to the results of internal and enterprise-wide evaluations.

d. Consult with the USD(I) and USD(P&R) on the establishment and implementation of human capital metrics and relevant analytical methodologies.

ENCLOSURE 3

PROCEDURES

1. EVALUATION PROGRAM OBJECTIVES. Evaluations of DCIPS shall:

a. Determine the degree to which DCIPS policy, programs, and responsibilities are known, understood, and carried out equitably and effectively by DCIPS managers, supervisors, and employees.

b. Confirm that all applicable laws, Executive Orders, rules, and regulations are being followed.

c. Support collective efforts by the DoD Components with DCIPS positions to set and prioritize human capital goals, determine progress in achieving goals, and examine the contribution made by human capital programs to the missions of the enterprise.

d. Provide the DoD and Defense Intelligence Enterprise with information to aid in the development of strategic human capital planning initiatives and identify opportunities for the development of new policy, procedures, or designs to improve mission results, enterprise-wide equity, and operational efficiency.

e. Identify DCIPS best practices management and foster their application across the Defense Intelligence Enterprise.

2. PLANNING FOR EVALUATIONS

a. Annual Evaluations. The USD(I), in consultation with the Heads of DoD Components with DCIPS positions, shall develop an overall DCIPS evaluation plan. This plan shall:

(1) Be developed on an annual basis and published in March of each calendar year.

(2) State the scope and coverage of the evaluation and, if applicable, identify areas of specific interest to the DIHRB or USD(I) (e.g., recruiting effectiveness, attrition).

(3) Define evaluation team membership and leadership roles (may include external sources); identify how the evaluation will be organized and conducted, including requirements and schedules for on-site visits and interviews; define data requirements, processes, and procedures; and specify any additional steps or requirements necessary to the conduct of the evaluation.

b. Special Purpose Evaluations. The USD(I) may initiate ad hoc or special-purpose evaluations in response to issues identified in human capital management across the Defense Intelligence Enterprise.

(1) The USD(I) will consult with the DIHRB on issues warranting evaluation.

(2) The Director, HCMO, shall lead all special purpose evaluations and shall engage the USD(P&R), DoD Component human capital staffs, external consultants, and others as necessary to conduct the evaluations.

(3) The Director, HCMO, shall plan such evaluations to provide findings to the DIHRB in a timely manner by ensuring focus, brevity, and validity.

### 3. CONDUCTING EVALUATIONS

a. Required Features in all DCIPS Evaluations. All DCIPS evaluations shall:

(1) Follow a published project management plan that identifies key research questions, assessment criteria, critical milestones, responsible parties, primary and secondary information and data sources, coordination, reporting and dissemination requirements, and delivery schedule.

(2) Assess employee and manager satisfaction with the efficiency and effectiveness of DCIPS policies, processes, and outcomes.

(a) Such assessments shall be integral parts of the annual evaluations required in section 2 of this enclosure and shall be based on gathering and sampling qualitative and quantitative data.

(b) The HCMO shall incorporate findings from the annual Intelligence Community (IC) climate survey or other Government-wide satisfaction surveys, as appropriate, in the analysis.

(3) Utilize core metrics identified in section 4 of this enclosure.

b. Data Sources. DCIPS evaluations shall, wherever possible, be based on existing reporting data readily available within the human resource information systems of the DoD Components participating in the evaluation.

(1) Evaluations shall incorporate existing or standard external data sets, including those developed within the Office of the Director of National Intelligence (ODNI), elsewhere in the Federal Government, or commercially.

(2) The HCMO shall determine the need for the development of specialized data sets.

c. Methodologies in DCIPS Evaluations. All DCIPS evaluations shall undertake a rigorous, state-of-the-art, multi-method approach that includes gathering and sampling workforce data; applying human capital metrics; utilizing surveys, focus groups, and interviews; and gathering and analyzing other specialized program performance data.

(1) The HCMO may use surveys, interviews, data calls, and data base reports for annual and special purpose evaluation requirements.

(2) The HCMO will be the focal point for development and approval of evaluation methodologies.

d. Required Features in all DCIPS Evaluation Reports. All DCIPS evaluation reports shall provide a summary of key findings and recommendations; a narrative that examines and interprets DCIPS data against benchmarks or metrics; an assessment of the implications on mission success of the findings and trends; and recommendations for remedial actions.

(1) Reports shall be developed for the USD(I) and the DIHRB as principal customers.

(2) Dissemination beyond the DIHRB shall be at USD(I) and DIHRB Chair discretion.

e. Coordination with ODNI

(1) USD(I) shall coordinate with the ODNI on data calls, evaluation methodologies, and evaluations and reports having applicability to the IC beyond the DoD.

(2) DoD Components with DCIPS positions shall refer to the USD(I) all requests from the ODNI for DCIPS-related data and analysis.

4. METRICS. DCIPS program evaluations shall measure system performance against core functional metrics across the Defense Intelligence Enterprise.

a. Core Metrics. The following core metrics were established by the USD(I) to be applied in regular annual DCIPS evaluations. DoD Components with DCIPS positions shall incorporate these core metrics into their regular DCIPS management. DoD Components with DCIPS positions may utilize additional metrics, as necessary.

(1) Core Staffing Metrics

(a) Time-to-Fill. The DoD Components with DCIPS positions shall measure the average time it takes to fill a position as determined by the Office of Personnel Management, ODNI, and DoD methodology.

(b) Vacancy Rate. The DoD Components with DCIPS positions shall track vacancy rates in key mission categories, work categories, and work levels, as appropriate. The USD(I)



shall consult with the DoD Components with DCIPS positions on the appropriate vacancy rate percentages to allow for normal career growth and rotational development while maintaining opportunities for new hiring.

(c) Transparency. The DoD Components with DCIPS positions shall measure employee and candidate perceptions of the fairness of DoD Component selection processes through regular opinion surveys provided through the USD(I) and ODNI in accordance with DoD Instruction 1100.13 (Reference (g)).

(d) Collaboration. The DoD Components with DCIPS positions shall report regularly, as determined by the USD(I), on critical indicators in employment and placement. Such indicators shall be developed by the USD(I) in consultation with the DoD Components.

(e) Quality Metrics. The DoD Components with DCIPS positions shall use surveys and other appropriate means as determined by the USD(I) to measure manager satisfaction with the hiring process and the quality of selectees.

(f) Workforce Distribution. DoD Components with DCIPS positions shall maintain data on the distribution of their DCIPS workforces by mission category, work category, and work level.

(g) Separation Rate. DoD Components with DCIPS positions will measure the separation rate for the quarter and fiscal year using a common formula provided by the USD(I). This calculation will be made for key workforce elements including tenure group, mission category, occupation, work category, work level, and overall performance rating.

(h) Diversity. DoD Components with DCIPS positions shall continuously monitor their workforce distribution according to demographic elements as promulgated by the DoD.

## (2) Core Compensation Metrics

(a) Competitiveness of Pay Scale and Structure. USD(I) shall measure the competitiveness of the DCIPS pay scale in relation to the appropriate labor market, in collaboration with the DoD Components as described in Volume 2006 of this Instruction. In order to support this responsibility, DoD Components with DCIPS positions shall systematically collect and maintain data for use in enterprise-wide examinations of the competitiveness of the DCIPS pay plans. Such data shall include

1. The differences in pay and compensation received by individuals who rejected a DoD Component's offer of employment for pay reasons.

2. The pay and compensation accepted by employees who separate from the DoD Component, if it can be determined (e.g., through exit interviews).

3. At the DoD Component's discretion, market survey data reflecting the market alignment of the DoD Component's core occupations' pay and compensation.

(b) Differential Performance-based Payouts. The USD(I) and DoD Components shall annually examine the differences in performance-based payouts received by employees with different ratings of record, positions in pay range, work categories, work levels, gender, ethnicity, age, and other factors. For the National Geospatial-Intelligence Agency (NGA), these analyses shall examine performance-based base pay increases and bonuses. For all DoD Components other than NGA, these analyses shall examine performance-based bonuses or other forms of recognition that result in permanent increases to pay, such as the quality step increase provided pursuant to Volume 2012 of this Instruction.

1. The data from these analyses will be analyzed by comparison to historical and benchmark data developed by the HCMO.

2. The HCMO will analyze the data from these analyses from both the individual DoD Component and enterprise-wide perspective.

(c) Awards. The USD(I) and DoD Components with DCIPS positions shall maintain and report data on the amount of monetary awards and the cost of non-monetary awards, including comparative data on spot award amounts, award amounts compared to pay pool payouts, distribution of awards by mission category, work category, work level, gender, ethnicity, age, and other factors.

### (3) Core Performance Management Metrics

(a) Rating Distribution. DoD Components with DCIPS positions shall maintain and report data on performance rating distribution by percentage of population in each rating level by organizational unit, mission category, work category, work level, position in pay range, demographics, and other factors as determined by the USD(I).

(b) Promotion Rates. DoD Components with DCIPS positions shall calculate and report a per capita annual promotion rate by mission category, work category, work level, position in pay range, rating level, demographics, and other factors as determined by the USD(I).

(c) Reassignment Rates. DoD Components with DCIPS positions shall calculate and report a per capita annual reassignment rate for each mission category, work category, and work level.

(d) Impact of Unacceptable Ratings. In addition to statistics maintained and reported on ratings distributions, DoD Components with DCIPS positions shall track and report disposition of cases where employees have received an overall rating of 1, "Unacceptable."

(e) Impact of Outstanding Ratings. In addition to promotion rates calculated in accordance with subparagraph 4.a.(3)(b) of this enclosure, DoD Components with DCIPS

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positions shall calculate and report the annual rate of promotion, reassignment, and assignment to long-term training made for employees with overall ratings of 5, "Outstanding." This calculation shall provide data by mission category, occupation, work category, and work level.

(4) Core Employee Relations Metrics. For input in the annual DCIPS evaluations, DoD Components with DCIPS positions shall record and report:

(a) Adverse Actions. The rate of adverse actions (separating performance-based from conduct-based) per 1,000 population.

(b) Grievances. The rate of grievances per 1,000 population.

(c) Reconsiderations of Evaluation of Record. The number of requests per 1,000 population for administrative reconsiderations of evaluations of record initiated in accordance with Volume 2011 of this Instruction.

(5) Core Professional Development Metrics. DoD Components with DCIPS positions, through their Chief Learning Officers, shall, in addition to reporting provided to the Intelligence Training and Education Board, provide the USD(I) with information on the mission effectiveness of learning and development programs by:

(a) Participating in biennial USD(I) Professional Development Staff Assist Visits to Defense Intelligence training and learning facilities that collaboratively measure accomplishments against enterprise learning and development goals.

(b) Maintaining data for biennial reporting on the numbers of employees possessing certifications from approved programs, by certification and mission category.

(6) Additional Core Metrics. The HCMO and DoD Components with DCIPS positions shall recommend changes or additions to core metrics to the DIHRB.

b. Other Human Capital Measurements. The USD(I), in collaboration with DoD Components, may develop and utilize other calculations deemed appropriate for the examination at hand. Such metrics may be developed within the HCMO or the DoD Components.

## 5. INCOPORATING FINDINGS INTO POLICY

a. The HCMO shall incorporate into DCIPS policy the results of annual and biennial enterprise-wide evaluations, the results of special evaluations, the findings of internal DoD Component evaluations and, as appropriate, the findings of external evaluations.

b. Recommendations for policy changes will be developed by the HCMO in coordination with DoD Components and approved by the DIHRB.

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c. DoD Components with DCIPS positions shall incorporate enterprise-wide data in future training of DCIPS employees, managers, pay pool panel members, and pay pool managers.

GLOSSARY

ABBREVIATIONS AND ACRONYMS

DCIPS	Defense Civilian Intelligence Personnel System
DIHRB	Defense Intelligence Human Resources Board
DoDD	DoD Directive
HCMO	Human Capital Management Office
IC	Intelligence Community
NGA	National Geospatial-Intelligence Agency
ODNI	Office of the Director of National Intelligence
USD(I)	Under Secretary of Defense for Intelligence
USD(P&R)	Under Secretary of Defense for Personnel and Readiness