



UNITED STATES MARINE CORPS
TRAINING AND EDUCATION COMMAND
1019 ELLIOT ROAD
QUANTICO, VIRGINIA 22134

IN REPLY REFER TO
12000
C 460
1 Apr 20

LETTER OF INSTRUCTION 3-20

From: Commanding General, Training and Education Command
To: Distribution List

Subj: LETTER OF INSTRUCTION FOR THE DEPARTMENT OF DEFENSE PERFORMANCE
MANAGEMENT AND APPRAISAL PROGRAM

Ref: (a) Letter of Instruction, MPC-40
(b) USD (P&R) Memorandum of 12 November 2019,
Subject: Guidance on Awards for civilian Employees and
Workforce Fund Plan
(c) TECOM Civilian Performance Management, TECOMO 12430

Encl: (1) Assessments - CRA format
(2) Critical Elements - SMART format
(3) Timeline (12451 M&RA/MPC-40)
(4) Award Recommendation form (12451 M&RA/MPC-40)

1. Situation. The Department of Defense Performance Management and Appraisal Program (DPMAP) was established pursuant to the National Defense Authorization Act of 2010 and was implemented within the Marine Corps on 1 October 2017 for non-bargaining unit civilians, and on 1 April 2018 for bargaining unit civilians. The DPMAP current Performance Cycle ends on 31 March each year.

2. Mission. This letter of instruction (LOI) articulates required DPMAP procedures for Training and Education Command (TECOM) federal civilian appropriated fund employees to close out the previous performance cycle and initiate the 1 April 2020 to 31 March 2021 performance cycle.

3. Execution

a. Commander's Intent and Concept of Operations

(1) Commanders Intent. By the end of April, supervisors will have completed fair and equitable performance appraisals for the previous performance cycle and created new performance plans for civilian employees in accordance with the references.

(2) Concept of Operations

(a) Annual Appraisals for 1 April 2019 through 31 March 2020. Annual Appraisals are due at the end of the appraisal cycle and must be completed by 30 April 2020 in MyBiz+. Annual assessments are

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to be written for each critical element using the Critical Element, Results Achieved, and Alignment format as contained in enclosure (1).

(b) Performance plans for 1 April 2020 through 31 March 2021. Performance plans will be created within 30 days of the beginning of the performance cycle (1-30 April 2020) or upon the onboarding of a new employee. The critical elements are to be written using the Specific, Measurable, Aligned, Realistic, and Time Frame format as contained in enclosure (2).

b. Coordinating Instruction

(1) Roles and Responsibilities to Complete Appraisals

(a) Employee. Employees are responsible for executing their performance plans to meet the mission of the organization. They are responsible for identifying and recording their accomplishments and results, actively participating in required conversations, and understanding the link between performance expectations, conduct, organization mission, and goals. Employees are required to write a self-assessment for each critical element for the progress reviews and annual performance appraisals.

(b) Rating Official (RO). The RO is responsible for establishing performance plans for his/her employees carrying out required progress review written assessments with employees, taking action as needed to correct unacceptable performance, required written annual assessment, a rating of record, and indicate award recommendation. ROs are required to write an assessment for each critical element and forward completed appraisals to the Higher Level Reviewer (HLR) for approval. Additionally, the RO is responsible for engaging in ongoing discussions with their employees throughout the cycle to ensure employees are aware of their assessment of performance and possible/recommended training and development opportunities.

(c) Higher Lever Reviewer (HLR). The HLR is responsible for approving performance plans, progress reviews recommended ratings of record, recommended awards, and ensuring consistency and fairness within their organization.

(2) Performance Awards. All employees who receive a rating of record of at least Level 3, Fully Successful, are eligible for an award. However, awards are not mandatory nor guaranteed at any rating level. ROs have the option to make award recommendations using enclosure (3). The HLRs approval must be documented for all award recommendations. Final award decisions will be made by a Performance Award Review Board (PARB). PARBs do not have the authority to change performance ratings; the PARB's role is limited solely to making performance-based award decisions. When making award decisions, the PARB will ensure awards are distributed fairly and adhere to the merit

system principles. Commanding General, TECOM is the final approving authority for all civilian awards.

(3) Awards Funding. Each year, the Department of Defense and the Department of the Navy issue awards restrictions based on guidance from the Office of the Personnel Management (OPM). Commands will determine the funding for cash performance awards and Quality Step Increases within the restrictions outlined in the guidance from OPM. Cash award fund for Fiscal Year 2020 the may not exceed 1/5% of the aggregate salaries of all employees on board as of 30 September of the prior fiscal year.

(4) Timeline

(a) Appraisals. Employees must submit annual appraisals to ROs by 10 April 2020. ROs will complete assessments and submit to HLRs by 17 April 2020. HLRs will review and approve assessments by 24 April 2020. Employees will then sign completed appraisal by 30 April 2020. (These timelines apply to both the 2019-2020 and 2020-2021 performance plan requirements.)

(b) Awards. The dates in the table of enclosure (4) will be adhered to with regard to the DPMAP Performance Cycle based awards. Note that because the effective date of the DPMAP appraisals is 1 June, performance based awards may not be processed with an effective date prior to 1 June, even if a PARB completes deliberations prior to that date.


(5) Grievances. Failure to receive an award, the amount of an award, and the type of award, are not grievable through the administrative grievance procedure or the negotiated grievance procedure.

4. Administration and Logistics. The point of contact for this matter is Mrs. Stephanie Andrews, Civilian Manpower Branch Head, G-1, TECOM at 703-432-8051 or Stephanie.andrews@usmc.mil.

5. Command and Signal

a. Command. This LOI applies to all TECOM civilian employees covered by DPMAP.

b. Signal. This LOI is effective the date signed.


S. A. WOLFF
By direction

DISTRIBUTION: A

Writing Assessments in CRA Format:

Applies to Employee Self-Assessment and Supervisor Assessment for both Progress Reviews and Annual Appraisals.

C - Critical Element

R - Results Achieved

A - Alignment

C- (Critical Element) - Restate the Critical Element title

R- (Results Achieved) - Describe the actual accomplishments and describe how they met, exceeded or greatly exceeded expectations. Each assessment shall contain the words: "Met, Exceeded or Greatly Exceeded" at the beginning of the results section. (i.e. "Mr. Jones MET the requirements for this critical element.")

A- (Alignment) - Describes the value of the accomplishments to the organization's mission

Writing Critical Elements with S-M-A-R-T Format:

Applies to Critical Elements for Employee Performance Plans and Technical Critical Elements for Supervisors.

S - Specific

M - Measurable

A - Aligned

R - Realistic

T - Time Frame

S- (Specific) - Clearly state the expected accomplishment that can be observed. To be specific, a critical element must define an observable action, behavior, or achievement; link to a level of performance, frequency, percentage, or other number. Specific is related to the result, not the activities to achieve that result.

M- (Measurable) - State the criteria for measuring accomplishments. Provide a method to allow tracking, recording, and validation of quality of a specific behavior, action, or outcome. Define quantity (how many), quality (how good), resources (how much), and time (how long, how often).

A- (Aligned) - Correlate the work of the employee, the goals of the work unit, and mission of the organization. Critical elements ensure all employees are working toward the organization/mission goals.

R- (Realistic) - the expected results can be achieved with available resources and time (e.g., if a new employee reports six months into the rating cycle, can the expected results be accomplished during the remaining of the rating cycle?) and are under the employee's control. The critical element should be sufficiently complex to challenge the individual but not so complex that it cannot be accomplished.

T- (Timed) - State the timeline for expected results. For long-term projects that require more than one rating cycle to accomplish, Critical elements should identify what results are expected within the rating cycle. The time component can be specific (*by 1 July, end of 4th quarter*), relative to another event (*six months after...*), or recurring (*quarterly*). The minimum rating period is 90 days.

DEFENSE PERFORMANCE MANAGEMENT AND APPRAISAL SYSTEM (DPMAP)

KEY DATES FOR FY20 ANNUAL APPRAISAL

ACTION	DATE	NOTES
END OF APPRAISAL PERIOD	31 MAR 20	
EMPLOYEE SUBMITS ANNUAL ASSESSMENT TO RATING OFFICIAL	NLT 10 APR 20	<ul style="list-style-type: none"> • RATING OFFICIAL ASSESSMENT REQUIRED
RATING OFFICIAL SUBMITS ASSESSMENT TO HIGHER LEVEL REVIEWER	NLT 17 APR 20	<ul style="list-style-type: none"> • HIGHER LEVEL REVIEW REQUIRED
HIGHER LEVEL REVIEWER RETURNS ASSESSMENT TO RATING OFFICIAL	NLT 24 APR 20	<ul style="list-style-type: none"> • RATING OFFICIAL COMMUNICATES TO EMPLOYEE
RATING OFFICIAL RETURNS ANNUAL ASSESSMENT TO EMPLOYEE	NLT 30 APR 20	<ul style="list-style-type: none"> • EMPLOYEE ACKNOWLEDGMENT REQUIRED
AWARD RECOMMENDATION FORMS SUBMITTED TO PARB ADMINISTRATORS	NLT 3 MAY 20	
PARB COMPLETES AWARD DELIBERATIONS	NLT 31 MAY 20	
PAR TOOLS SUBMITTED TO HROM/LER	NLT 7 JUNE 20	
EMPLOYEE NOTIFIED OF AWARD DECISIONS	NLT 30 JUNE 20	

KEY DATES FOR FY21 PERFORMANCE PLAN

ACTION	DATE	NOTES
EMPLOYEE SUBMITS FY21 PLAN TO RATING OFFICIAL	NLT 10 APR 20	
RATING OFFICIAL SUBMITS PLAN TO HIGHER LEVEL REVIEWER	NLT 17 APR 20	<ul style="list-style-type: none"> • HIGHER LEVEL REVIEW REQUIRED
HIGHER LEVEL REVIEWER RETURNS PLAN TO RATING OFFICIAL	NLT 24 APR 20	<ul style="list-style-type: none"> •
RATING OFFICIAL RETURNS ANNUAL ASSESSMENT TO EMPLOYEE	NLT 30 APR 20	<ul style="list-style-type: none"> • EMPLOYEE ACKNOWLEDGMENT REQUIRED

Rating Official Award Recommendation Form

Rating Official						
Higher Level Reviewer						
Organization						
EMPLOYEE NAME	PAY PLAN & GRADE	RATING OF RECORD: OS - Outstanding (4.3 -5.0) FS - Fully Successful (3.0-4.2) UA - Unacceptable (2.9 or lower; any element rated as level 1)	SUMMARY RATING (Score taken from Part E of appraisal form, e.g. 3.5, 4.7)	AWARD(S) RECOMMENDED ¹ If time off, state number of hours		
				CASH	QSI	TIME OFF

PROVIDE ANY ADDITONAL INFORMATION YOU WISH THE PARB TO CONSIDER:

If you have recommended an employee for a Quality Step Increase, by signing this form you are certifying the employee has demonstrated sustained performance of a high quality for a significant period of time and that the high quality of performance is expected to continue. You are also certifying the employee is below step 10 of his/her grade and has not received a QSI in the preceding 52 consecutive calendar weeks.

Rating Official signature:	Date:
Higher Level Reviewer signature:	Date:

¹ Only employees rated Outstanding are eligible for a QSI. Employees may not receive both a QSI and a cash award. Time off awards may be given in addition to, or in lieu of, a cash award or QSI.