



## DCMA Manual 4201-13

### Performance Management

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<b>Office of Primary Responsibility</b>	<b>Organizational Infrastructure</b>
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<b>Resource Page Link:</b>	<a href="https://dod365.sharepoint-mil.us/sites/DCMA-BCF-Talent_Management/SitePages/4201-13r--Performance-Management-.aspx">https://dod365.sharepoint-mil.us/sites/DCMA-BCF-Talent_Management/SitePages/4201-13r--Performance-Management-.aspx</a>
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**Purpose:** This issuance, in accordance with the authority in DoD Directive 5105.64, “Defense Contract Management Agency (DCMA),” assigns responsibility for:

- Implementing policy, assigning responsibility, establishing, and providing procedures for Agency use of DoD Instruction 1400.25, Volume 431, “DoD Civilian Personnel Management System: Performance Management and Appraisal Program.”
- Implementing written supplemental guidance to address specific elements or requirements for Agency use under the Defense Performance Management and Appraisal Program in accordance with DoD Instruction 1400.25 and the Collective Bargaining Agreement Article 26. To the extent that anything in this manual contradicts the Collective Bargaining Agreement, the Collective Bargaining Agreement takes precedence.
- Implementing written supplemental guidance to address specific requirements for Agency use under Acquisition Workforce Personnel Demonstration Project.

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## SECTION 1: GENERAL ISSUANCE INFORMATION

**1.1. APPLICABILITY.** This Manual applies to all DCMA personnel whether on Defense Performance Management and Appraisal Program (DPMAP) or Acquisition Workforce Personnel Demonstration Project (ACQDEMO). Exceptions to DPMAP are listed in Appendix 3A, of Volume 431, of DoD Instruction (DoDI) 1400.25, “DoD Civilian Personnel Management System: Performance Management and Appraisal Program.” DPMAP was implemented April 1, 2018, for all covered DCMA employees. ACQDEMO was implemented October 1, 2017, for all covered DCMA employees.

**1.2. POLICY.** It is DCMA policy to:

- a. Have an effective performance management program that is critical to increasing employee engagement and employee development opportunities and accomplishing the mission.
- b. Provide employees in DPMAP a fair, credible, and transparent performance appraisal process; link individual performance to DoD values and organizational mission; and ensure ongoing recognition and communication between employees and supervisors throughout the appraisal cycle.
- c. Provide employees in ACQDEMO a system that retains, recognizes, and rewards employees for their contributions, and supports their personal and professional development.
- d. Execute this Manual in a safe, efficient, effective, and ethical manner.
- e. Comply with the Collective Bargaining Agreement, Article 26.

## **SECTION 2: RESPONSIBILITIES**

**2.1. DIRECTOR, LABOR RELATIONS DIVISION.** The Director, Total Force Labor, will:

- a. Ensure the development, maintenance, and administration of the performance management programs are consistent with all applicable laws and regulations.
- b. Provide guidance, technical assistance, and training in applying the policy and procedures of the performance management programs.
- c. Explain the appraisal process, requirements in law, regulation, policy, and procedures identified in this guidance and DoDI 1400.25 to managers, supervisors, and employees.

**2.2. MANAGERS AND SUPERVISORS.** Managers and supervisors will:

- a. Create and promote a high-performance work culture and environment.
- b. Ensure fair and consistent application of this manual in compliance with governing laws and ownership of the systems by all members of the organization.
- c. Develop and communicate organizational goals and priorities to assist in developing individual and/or group goals and expectations.
- d. Ensure that employees are informed of the individuals in their rating chains and of their annual rating cycles.
- e. Ensure all supervisors, union representatives, and employees, receive adequate training or orientation concerning the applicable appraisal system. The American Federation of Government Employees Council Local will be notified and allowed to attend all formal discussions and/or training with DCMA management and employees.
- f. Ensure timely preparation of written Performance Plans (PP)/Contribution Plans (CP) and completed performance appraisals.
- g. Ensure that PPs/CPs incorporate matters required by other law, regulation, and DoD policy including establishment of critical job elements and related performance standards concerning equal employment opportunity for all supervisors, managers, and other employees with equal employment opportunity responsibilities as required according to DoD Directive 1440.1, "DoD Civilian Equal Employment Opportunity (EEO) Program."
- h. Ensure accomplishment of the DCMA mission through individual, team (where applicable), and organizational performance.

**2.3. RATING OFFICIALS (RO).** RO will:

- a. Communicate DoD core values, organizational goals, objectives, and priorities to employees.

b. Identify and record critical performance elements for each rated employee and develop written performance standards against which each element will be measured. Employee input is not mandatory under DPMAP; however, it is valuable and highly encouraged for PP creation progress reviews and final evaluation. Employees will be given the opportunity to participate in the initial development and any revision of the performance plans for their positions. Ensure employee under ACQDEMO provides required self-assessments.

c. Provide each rated employee a copy of their approved PP/CP within 30 days after the start of each performance appraisal cycle or the employee's assignment to a new position or set of duties.

d. Continually monitor employee performance, including engaging in dialogue with each rated employee during the appraisal cycle on performance and developmental opportunities, conducting progress reviews, addressing performance deficiencies as necessary, and reinforcing successful performance.

e. There are a number of special circumstances that may affect an employee's eligibility for a performance rating. These include employees on a detail or matrixed to another organization, employees performing union representational responsibilities, absence for military service, employees on extended leave or long-term training, and employees or supervisors who leave or transfer during the appraisal cycle. In these circumstances, ratings will be provided in accordance with applicable laws, rules, and regulations.

f. Evaluate employee performance by comparing results achieved with PPs/CPs. Prepare performance ratings giving appropriate consideration to any performance narratives received from previous supervisor, employee input, etc.

g. Prepare performance-based recognition in a timely manner, in accordance with laws, regulations, policies, etc., and ensure selection criteria for the award does not discriminate against individuals on the basis of race, color, religion, age, sex, national origin, or disability.

h. Provide each rated employee with a copy of their approved rating of record and discuss approved performance ratings with employees.

i. Complete required documentation in MyPerformance tool for employees under DPMAP or Contribution-based Compensation and Appraisal System (CAS2NET) for employees under ACQDEMO.

#### **2.4. EMPLOYEES.** Employees will:

a. Take responsibility to continuously improve individual performance, to support team endeavors where applicable, to develop professionally, and to perform at full potential.

b. Set high standards in the pursuit of excellence in carrying out assigned duties.

c. Propose changes in PPs/CPs to RO if there are concerns about individual performance

expectations.

- d. Identify work problems and cooperate with the RO to resolve them.
- e. Provide required self-assessments (ACQDEMO).
- f. Complete training and developmental assignments to meet current or future job performance needs.
- g. Be afforded the opportunity to consult with Union representative on the appraisal process, requirements in law, regulation, policy, and procedures identified in this guidance and DoDI 1400.25.

## SECTION 3: AGENCY PROCEDURES FOR DPMAP

### 3.1. PROCEDURES.

a. DPMAP procedures are contained in Volume 431 of DoDI 1400.25 and DCMA specific requirements from the Collective Bargaining Agreement, Article 26. The DoD Performance Management and Appraisal Program Toolkit may be used for reference and training. Additional Agency specific procedures or requirements are:

(1) MyPerformance is the only automated appraisal tool authorized for use in administering and documenting activities under DPMAP. MyPerformance generates a completed DoD Civilian Performance Plan, Progress Review and Appraisal (DD Form 2906).

(2) The MyPerformance automated tool will be used as the primary means for the creation, movement, and submission of PPs and a rating of record. Supervisors will annotate those steps in the appraisal process tool which will generate a completed DD Form 2906.

(3) PPs, representing joint efforts of employees and supervisors, must be provided to employees at the beginning of each appraisal period (normally within 30 days) or within the initial 30 days of employment with DCMA.

(4) The PP must be approved by the RO at the beginning of the rating period and any other time that elements and/or standards change significantly. Supervisors will not revise PPs during the final 90 days of the rating period. This is to avoid unnecessarily extended rating periods. Supervisors should make the revisions to the PP during the beginning of the next rating period.

(5) Employees will use the MyPerformance tool to review and acknowledge their PP, acknowledge formal discussions, document employee input at the end of the appraisal cycle, and acknowledge their performance appraisal. In cases where computer access is temporarily unavailable for accessing MyPerformance, employees may use a paper version of the DD Form 2906, to review, acknowledge and provide input while discussing their performance with their supervisor. The supervisor will annotate the employee's acknowledgement for each item (PP, progress reviews, etc.) in MyPerformance.

(6) PPs become effective upon communication to the employee by the RO. Employee's signature/acknowledgment is not required for the PP to become effective.

(7) When the supervisor or the employee do not have access to MyPerformance, they must use a paper version of DD Form 2906 to document the PP, progress review(s), and rating of record. Only in limited situations, where it is neither practicable nor feasible to use MyPerformance, will the use of only the DD Form 2906 be permitted. The paper version of the DD Form 2906 may be found on the Resource Page of this Manual.

b. Individual Development Plan (IDP). An IDP aids in the professional development and growth of an employee and promotes a high performance atmosphere. An IDP will be developed in accordance with the DCMA Collective Bargaining Agreement.

c. Performance Discussions.

(1) Employees will receive a minimum of four formal, documented performance discussions initiated by their supervisor during the appraisal cycle. These discussions include the initial PP meeting to discuss performance expectations, two interim progress reviews, and the final performance appraisal discussion to communicate the rating of record. Supervisors or employees can initiate additional performance discussions at any time.

(2) Supervisors will discuss DoD core values with employees at the beginning of the appraisal cycle and the core values will be annotated on all PPs. The DoD core values, which form the foundation of the DoD high performance culture are: leadership, professionalism, and technical knowledge through dedication to duty, integrity, ethics, honor, courage, and loyalty.

### 3.2. ADDRESSING PERFORMANCE ISSUES.

a. Addressing and Resolving Performance Deficiencies. If, during the appraisal cycle, a supervisor becomes aware that an employee is performing at a less than Fully Successful level, which means the employee is at risk of being assessed at an Unacceptable level in one or more elements, there are several actions a supervisor will take to address the deficiency as soon as it is noted:

(1) Provide feedback to the employee that their current performance is Unacceptable and provide specific examples of work that has not met expectations.

(2) Provide clear guidance as to what is needed in order for the employee to improve performance to the Fully Successful level.

(3) Tell the employee what type(s) of assistance is available to help the employee meet expectations.

(4) Address the deficient performance as soon as it is identified. More than one progress review may be necessary before the employee is able to demonstrate Fully Successful performance.

b. Providing an Opportunity to Improve.

(1) If, despite the preventive steps taken, an employee's performance is Unacceptable in one or more elements, the supervisor will provide the employee with a formal opportunity to demonstrate Fully Successful performance by preparing a Performance Improvement Plan (PIP). As part of the PIP, training and development may also become an essential component of demonstrating assistance to employees who are not meeting performance requirements. Supervisors should contact the servicing Employee Relations Specialist for assistance as soon as problems with an employee's performance are identified.

(2) The PIP is a tool to provide struggling employees the opportunity to succeed while still holding them accountable for past performance. The PIP clarifies the work performance that is deficient and how to improve. This opportunity period represents a genuine effort on



management's part to assist an employee based on that employee's deficiencies. In the PIP document, the supervisor must provide a written description of the deficient performance and specific instances of Unacceptable performance. The PIP will:

(a) Identify the element(s) in which performance is deficient and provide a description of the Unacceptable performance.

(b) Specify what the employee must do in order to demonstrate Fully Successful performance (i.e., clear detail of what is expected from the employee and how the supervisor will measure performance.)

(c) Indicate to the employee the time allowed for the opportunity to improve.

(d) Explain what the supervisor will provide to assist the employee; such as indicating the point of contact who will be responsible for helping the employee through the performance improvement period; and indicate how often the point of contact will meet with the employee. (The point of contact tasked with guiding the employee is often the supervisor, but it could be a team leader.)

(e) Explain to the employee that if they have questions or do not understand something, the employee has the responsibility to notify the supervisor, team leader, or other appropriate person and proactively ask for help.

(f) Offer assistance to the employee to improve performance. Assistance may include but is not limited to closer supervision and counseling, personal demonstration, supervisory or peer coaching, frequent reporting, special assignments, and on-the-job training, if applicable.

(g) Specify the possible consequences of failure to raise performance to the Fully Successful level during the opportunity period.

(h) At the conclusion of the PIP, a written record will be provided to the employee which identifies the final level of performance.

(3) The PIP is a formal commitment from the supervisor to help the employee improve his or her performance. After issuance of the PIP, supervisors will:

(a) Evaluate other opportunities to assist and support the employee. Look for opportunities throughout the improvement period to help the employee succeed and achieve mission goals rather than passively monitor employee performance.

(b) Document the actions the supervisor has taken to comply with the PIP, the employee's performance, his or her progress, and continued deficiencies, if applicable.

(4) The supervisor may propose an adverse action if the employee's performance does not improve to the fully successful level during or following the PIP in one or more of the elements for which the employee was afforded opportunity to demonstrate adequate performance.

## SECTION 4: AGENCY PROCEDURES FOR ACQDEMO

### 4.1. PROCEDURES.

a. ACQDEMO procedures are contained in the ACQDEMO Operating Guide and DCMA ACQDEMO Business Rules. Additional Agency specific procedures or requirements are:

(1) CAS2NET is the only automated appraisal tool authorized for use in administering and documenting activities under ACQDEMO.

(2) The CAS2NET tool will be used as the primary means for the creation, movement, and submission of CP and a rating of record. Supervisors will annotate the appropriate steps in the appraisal process tool which will generate the official rating of record.

(3) CP representing joint efforts of employees and supervisors must be provided to communicate expectations of the contributions to the employee within 30 days of reporting or the start of a new appraisal period, and ensure each assigned employee has an approved CP.

(4) The CP must be approved by the rater at the beginning of the rating period and any other time that expectations change significantly. Supervisors will not revise CPs during the final 90 days of the rating period. This is to avoid unnecessary extended rating periods. Supervisors should make the revisions to the CP during the beginning of the next rating period.

(5) Employees will use the CAS2NET tool to initiate and acknowledge their CP, document and acknowledge formal discussions, document employee self-assessment at the mid-year and at the end of the appraisal cycle, and document and acknowledge their performance appraisal. The supervisor will annotate the employee's acknowledgement for each item (CP, mid-year reviews, etc.) in CAS2NET.

(6) CPs become effective on the day they are approved by the RO.

### b. Performance Discussions.

(1) Employees will receive a minimum of three formal, documented performance discussions initiated by their supervisor during the appraisal cycle. These discussions include the initial CP meeting to discuss performance expectations, one mid-year review, and the final performance appraisal discussion to communicate the rating of record. Supervisors or employees can initiate additional performance discussions at any time.

(2) Supervisors will discuss DoD core values with employees at the beginning of the appraisal cycle and will be annotated on all CPs. The DoD core values, which form the foundation of the DoD high performance culture are: leadership, professionalism, technical knowledge through dedication to duty, integrity, ethics, honor, courage, and loyalty.

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## 4.2. ADDRESSING PERFORMANCE ISSUES.

a. Addressing and Resolving Performance Deficiencies. If an employee's Overall Contribution Score (OCS) falls above the upper rail of the Normal Pay Region and/or the rating of record is Unacceptable, the employee is considered to be contributing inadequately for his/her level of basic pay, duties and factor level descriptors described in the Position Requirements Document, the expected contribution criteria, and and/or the required goals and objectives in the employee's CP. There are several actions a supervisor will take to address the inadequacies as soon as they are identified:

(1) Provide feedback to the employee that their current performance is Inadequate and

provide specific examples of work that has not met the expected OCS.

(2) Provide clear guidance as to what is needed in order for the employee to improve performance to the expect level.

(3) Tell the employee what type(s) of assistance is available to help the employee meet the expected OCS.

b. Providing an Opportunity to Improve.

(1) If, despite the preventive steps taken, an employee's performance is inadequate in one or more factors, the supervisor will provide the employee with a formal opportunity to demonstrate adequate performance by preparing a Contribution Improvement Plan (CIP). As part of the CIP, training and development may also become an essential component of demonstrating assistance to employees who are not meeting performance expectations. Supervisors should contact the servicing Employee Relations Specialist for assistance as soon as problems with an employee's performance are identified.

(2) The CIP is a tool to provide struggling employees the opportunity to succeed while still holding them accountable for past performance. The CIP clarifies the work performance that is inadequate and what is needed to reach the adequate level. This opportunity period should represent a genuine effort on management's part to assist an employee based on that employee's deficiencies. In the CIP document, the supervisor must provide a written description of the deficient performance and specific instances of inadequate performance. The CIP will:

(a) Identify the factor(s) in which performance is deficient and provide a description of the adequate performance.

(b) Specify what the employee must do in order to demonstrate adequate performance (i.e., clear detail of what is expected from the employee and how the supervisor will measure performance).

(c) Indicate to the employee the time allowed for the opportunity to improve.

(d) Explain what the supervisor will provide to assist the employee; such as indicating the point of contact who will be responsible for helping the employee through the performance improvement period; and indicate how often the point of contact will meet with the employee. (The point of contact tasked with guiding the employee is often the supervisor, but it could be a team leader).

(e) Explain to the employee that if they have questions or do not understand something, the employee has the responsibility to notify the supervisor, team leader, or other appropriate person and proactively ask for help.

(f) Offer assistance to the employee to improve performance. Assistance may include but is not limited to closer supervision and counseling, personal demonstration,

supervisory or peer coaching, frequent reporting, special assignments, and on-the-job training, if applicable.

(g) Specify the possible consequences of failure to raise performance to the adequate performance level during the opportunity period.

(3) The CIP is a formal commitment from the supervisor to help the employee improve his or her performance. After issuance of the CIP, supervisors will:

(a) Evaluate other opportunities to assist and support the employee. Look for opportunities throughout the improvement period to help the employee succeed and achieve mission goals rather than passively monitor employee performance.

(b) Document the actions the supervisor has taken to comply with the CIP, the employee's performance, his or her progress, and continued deficiencies, if applicable.

(4) The supervisor may propose an adverse action if the employee's performance does not improve to an adequate level during or following the CIP in one or more of the factors for which the employee was afforded opportunity to demonstrate adequate performance.

## GLOSSARY

### G.1. DEFINITIONS.

**CP:** A written plan outlining the ACQDEMO employee's expected contribution to the mission based on the assigned pay band.

**PP:** A written plan outlining the performance expectations based on the major functions of the assigned job for DPMAP. The plan is written in the **SMART** format being **S**pecific, **M**easurable, **A**chievable, **R**elevant, and **T**imely.

**Rating of Record: (DPMAP).** The performance rating level assigned at the end of an appraisal cycle for performance of agency-assigned duties over the entire cycle. **(ACQDEMO).** The three performance appraisal levels are averaged and compared to a translation table to calculate the annual rating of record.

**RO/Immediate Supervisor. (DPMAP):** The person responsible for informing the employee of the duties of his or her position, establishing performance standards, providing feedback, appraising performance, and assigning the performance rating. Normally, this is the employee's immediate supervisor. **(ACQDemo):** The individual who formally rates or appraises the employee for the annual rating of record. Normally this will be the first-level supervisor. The terms rating official and first-level supervisor are used interchangeably in this document.

## GLOSSARY

### G.2. ACRONYMS.

ACQDEMO	Acquisition Workforce Demonstration Project
CAS2NET	Contribution-based Compensation and Appraisal System Software
CP	Contribution Plan
CIP	Contribution Improvement Plan
DD Form 2906	DoD Civilian Performance Plan, Progress Review, and Appraisal
DoDI	DoD Instruction
DPMAP	Defense Performance Management and Appraisal Program
IDP	Individual Development Plan
OCS	Overall Contribution Score
PP	Performance Plan
PIP	Performance Improvement Plan
RO	Rating Officials

## **REFERENCES**

Agreement between Defense Contract Management Agency and American Federation  
of Government Employees Council 170, August 1, 2019  
DoD ACQDEMO Operating Guide, June 1, 2023  
DCMA ACQDEMO Business Rules & Procedures, August 30, 2021  
DoD Directive 1440.1, “DoD Civilian Equal Employment Opportunity (EEO) Program,”  
June 1, 2018  
DoD Directive 5105.64, “Defense Contract Management Agency (DCMA),” January 10, 2013  
DoD Instruction 1400.25, Volume 431, “DoD Civilian Management System: Performance  
Management and Appraisal Program,” July 1, 2020, as amended.