



DoD INSTRUCTION 1400.25, VOLUME 430

DoD CIVILIAN PERSONNEL MANAGEMENT SYSTEM: PERFORMANCE MANAGEMENT

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Purpose: This instruction is composed of several volumes, each containing its own purpose. In accordance with the authority in DoD Directives (DoDD) 5124.02 and 1400.25:

- This instruction establishes and implements policy, establishes procedures, provides guidelines and model programs, delegates authority, and assigns responsibilities regarding civilian personnel management within the DoD.
- This volume, in accordance with DoDD 1400.25; Title 5, United States Code (U.S.C.); and Title 5, Code of Federal Regulations (CFR):
 - Implements DoD performance management.
 - Prescribes procedures, delegates authority, and assigns responsibility for performance management within the DoD.
 - Establishes the DoD Performance Appraisal System.

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY.

This volume applies to the 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 Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this issuance as the “DoD Components”).

1.2. POLICY.

Performance management is used to improve individual, team (where applicable), and organizational performance. An integral part of this objective is the establishment of management accountability for equal employment opportunity (EEO) practices and principles in accordance with DoDD 1440.1.

SECTION 2: RESPONSIBILITIES

2.1. ASSISTANT SECRETARY OF DEFENSE FOR MANPOWER AND RESERVE AFFAIRS.

Under the authority, direction, and control of the Under Secretary of Defense for Personnel and Readiness, the Assistant Secretary of Defense for Manpower and Reserve Affairs has overall responsibility for the DoD performance management policy.

2.2. DEPUTY ASSISTANT SECRETARY OF DEFENSE FOR CIVILIAN PERSONNEL POLICY (DASD(CPP)).

Under the authority, direction, and control of the Assistant Secretary of Defense for Manpower and Reserve Affairs, the DASD(CPP):

- a. Supports the development of civilian personnel policy covered by this volume and monitors its execution by DoD Components, ensuring consistent implementation and application throughout the DoD.
- b. Provides strategic performance management policy direction and oversight.
- c. Establishes the DoD Performance Appraisal System.
- d. Assists in the development of performance appraisal programs.
- e. Receives and coordinates any proposed new or revised performance appraisal programs for approval by the Under Secretary of Defense for Personnel and Readiness.
- f. Provides advice and guidance on the interpretation of regulatory and policy matters regarding performance management.

2.3. DIRECTOR, DEPARTMENT OF DEFENSE HUMAN RESOURCES ACTIVITY.

Under the authority, direction, and control of the Under Secretary of Defense for Personnel and Readiness, the Director, Department of Defense Human Resources Activity provides support to the DASD(CPP), as appropriate, in the execution of their duties and responsibilities in this volume.

2.4. DOD COMPONENT HEADS.

The DoD Component heads:

- a. Oversee the development, implementation, application, and evaluation of performance appraisal programs within their respective Components.

b. Ensure performance appraisal programs established or revised after this issuance's effective date comply with the DoD Performance Appraisal System; DoDD 1400.25; Title 5, U.S.C.; and Title 5, CFR.

SECTION 3: PROGRAM OBJECTIVES

3.1. IN GENERAL.

Performance appraisal programs:

- a. Are designed to meet and integrate fully into organizational or mission goals and objectives and management processes.
- b. Are designed and used as tools for executing management and supervisory responsibilities; communicate and clarify organizational goals and objectives to employees; involve employees in improving organizational effectiveness and in accomplishing organizational missions and goals; and assess employee, team, and organizational effectiveness and performance.
- c. Identify employee, team, and managerial accountability for the accomplishment of individual, team, and organizational goals and objectives.
- d. Provide for planning, monitoring, developing, and evaluating individual, team, and organizational performance; use appropriate measures of performance to recognize and reward employees; and use performance appraisal results as the basis for appropriate personnel actions.
- e. Support and are consistent with merit system principles as outlined in Section 2301 of Title 5, U.S.C.
- f. Support the involvement of employees and their representatives in program development, implementation, and application.
- g. Provide appropriate training to program participants.
- h. Encourage employees to continuously improve, support team endeavors, develop professionally, and perform at their full potential.
- i. Ensure the incorporation in performance evaluations of matters required by law, regulation, and DoD policy, including the establishment of a critical element and related performance standards concerning EEO for all supervisors, managers, and other employees with EEO responsibilities pursuant to DoDD 1440.1.

3.2. MANAGER, SUPERVISOR, TEAM LEADER, AND EMPLOYEE RESPONSIBILITIES.

Managers, supervisors, team leaders (where applicable), and employees are separately and collectively responsible for individual, team, and organizational performance and for creating a work culture and environment that promotes a high-performance, high-involvement organization.

3.3. PERFORMANCE APPRAISALS.

Performance appraisals are an integral part of performance management. The DoD Performance Appraisal System governs all performance appraisal programs for covered employees within the DoD, as described in Section 4 of this volume.

3.4. AWARDS.

a. Awards:

- (1) Are an integral part of performance management within the DoD.
- (2) Provide a means to acknowledge, motivate, and reward significant individual, team, or organizational achievements or contributions.
- (3) Are granted consistent with EEO policies, free from discrimination, and regardless of race, color, religion, age, sex (including pregnancy and related conditions, sexual orientation, or gender identity), national origin, disability, or genetic information.

b. Volume 451 of DoD Instruction 1400.25 implements DoD policies, procedures, and requirements governing awards programs within the DoD, which includes performance-based awards of those DoD employees involved in the performance management programs stemming from this volume.

SECTION 4: DOD PERFORMANCE APPRAISAL SYSTEM

4.1. PURPOSE.

The DoD Performance Appraisal System:

a. Governs all performance appraisal programs within the DoD established or revised after the system's effective date. Such programs will fully comply with the system; other applicable DoD policies and procedures; Title 5, U.S.C.; Parts 430, 451, and 531 of Title 5, CFR; and other applicable laws and regulations.

b. Has been approved by the August 10, 2021 Office of Personnel Management letter, available at <https://www.dcpas.osd.mil/policy/performance/generalperformancemanagement>.

4.2. COVERAGE.

a. DoD Component Coverage.

The DoD Performance Appraisal System applies to all DoD Components **except** those excluded from coverage by applicable laws.

b. Employee Coverage.

The DoD Performance Appraisal System covers appropriated fund employees employed by the DoD **except** for:

(1) Employees outside of the United States who are paid in accordance with prevailing rates for the local nationals in that area pursuant to Section 4301(2)(A) of Title 5, U.S.C.

(2) Individuals in the Senior Executive Service pursuant to Section 4301(2)(E) of Title 5, U.S.C.

(3) DoD senior professionals (senior-level) and scientific or professional employees paid pursuant to Section 5376 of Title 5, U.S.C.

(4) Individuals appointed by the President pursuant to Section 4301(2)(F) of Title 5, U.S.C.

(5) Individuals occupying excepted service positions for which employment is not reasonably expected to exceed the minimum period established in performance appraisal programs in a consecutive 12-month period pursuant to Section 4301(2)(G) of Title 5, U.S.C.

(6) Individuals covered by the Defense Civilian Intelligence Personnel System, as Volume 2011 of DoD Instruction 1400.25 covers those positions.

(7) The DoD Civilian Acquisition Workforce Personnel Demonstration Project, which waives coverage of particular sections under Section 43 of Title 5, U.S.C., and Part 430 of Title 5, CFR, pursuant to Federal Register Notice Volume 82, Number 216.

(8) The DoD Science and Technology Reinvention Laboratory Personnel Demonstration Projects, which are designated pursuant to Section 4121 of Title 10, U.S.C., and which waives coverage of particular sections under Section 43 of Title 5, U.S.C., and Part 430 of Title 5, CFR.

(9) An individual who pursuant to Section 4301(2)(H) of Title 5, U.S.C.:

(a) Is serving in a position under temporary appointment for less than 1 year,

(b) Agrees to serve without a performance evaluation, and

(c) Will not be considered for reappointment or for an increase in pay based in whole or in part on performance.

(10) Civil Service Mariners of the Military Sealift Command, Department of the Navy pursuant to the February 24, 1981 Office of Personnel Management memorandum, available at <https://www.dcpas.osd.mil/sites/default/files/2021-12/OPM%20Memo%20MSC%20Mariners%201981.pdf>.

(11) U.S. citizen excepted service employees of the North Atlantic Treaty Organization and Supreme Headquarters Allied Powers Europe international staff.

(12) Individuals excluded from coverage under other applicable laws.

4.3. PERFORMANCE APPRAISAL PROGRAM REQUIREMENTS.

a. General.

Each DoD Component will ensure continuation of current or establishment of one or more performance appraisal programs, in accordance with Paragraph 4.4. New or revised performance appraisal programs will:

(1) Comply with the DoD Performance Appraisal System.

(2) State they comply with the DoD Performance Appraisal System.

(3) Specify the program's effective date.

(4) Specify which employees are covered.

(5) Designate a summary level pattern.

(6) Specify the appraisal period.

(7) Specify the procedures and requirements for planning, monitoring, developing, evaluating, and rewarding performance.

(8) Contain a savings provision comparable to that in Section 430.201(b) of Title 5, CFR. No employee may be concurrently covered by multiple performance appraisal programs.

b. Performance Plans.

(1) Employees must have approved written, or otherwise recorded, performance plans based on work assignments and responsibilities. The plans cover the official appraisal period.

(2) Performance plans:

(a) Are provided to employees at the beginning of each appraisal period (normally within 30 calendar days).

(b) Include all critical and non-critical elements and related performance standards.

(c) May include additional performance elements and related performance standards.

(d) May contain any combination of critical, non-critical, and additional elements and related performance standards. However, each performance plan must have at least one critical element and related performance standard that addresses individual performance.

c. Employee Involvement.

(1) Performance appraisal programs provide for employee participation in program development, implementation, and application.

(2) For employees who are represented by a labor organization that is accorded exclusive recognition pursuant to Chapter 71 of Title 5, U.S.C., employee involvement will take place consistent with the requirements of that chapter. For employees who are not represented by a labor organization, DoD organizations will determine the method of employee involvement consistent with applicable laws and regulations.

(3) Performance appraisal programs should encourage employee participation in establishing performance standards.

d. Appraisal Periods.

(1) Performance appraisal programs will establish an official appraisal period during which performance is monitored and for which a rating of record is prepared. Generally, employees are provided a rating of record on an annual basis. In some situations, longer appraisal periods may be granted.

(2) A rating of record will be given to each employee as soon as practicable after the end of the appraisal period. When a rating of record cannot be prepared at the time specified in the program, an extension of the appraisal period should occur until the conditions necessary to meet

the minimum period of performance have been met. A rating of record for such employees must be prepared as soon as practicable.

(3) A rating of record is required in accordance with Section 531.404 of Title 5, CFR., when a within-grade increase decision is not consistent with the employee's most recent rating of record and a more current rating of record must be prepared.

e. Elements.

Each performance appraisal program will provide for at least two rating levels for each critical and non-critical element. Critical elements must include rating levels at the "fully successful" or equivalent level and at the "unacceptable" level.

f. Performance Standards.

Performance standards will be written at the "fully successful" or equivalent level for all critical elements and also may be written at other levels. For non-critical elements, write performance standards at the appropriate level. The absence of an established performance standard at a level specified in the appraisal program will not preclude a determination that performance is at that level.

g. Minimum Period of Performance.

Performance appraisal programs will contain at least a 60 calendar-day minimum period of performance that must be completed before a performance rating may be prepared. However, performance ratings may be prepared for periods less than 60 calendar days if required to comply with Section 531.404(a)(1) of Title 5, CFR.

h. Performance Discussions.

(1) Performance appraisal programs:

(a) Provide for communicating performance plans (e.g., elements, performance expectations, and any goals and objectives) to employees.

(b) Include the methods for appraising each critical and non-critical element during the appraisal period against the employee's performance standards.

(2) Appraisal methods include, but are not limited to, one or more progress reviews during each appraisal period. Progress reviews will, to the maximum extent possible, be informative and developmental in nature and focus on how to improve future performance.

i. Summary Level.

(1) Each performance appraisal program will provide only one summary level pattern, pursuant to Section 430.208(d)(1) of Title 5, CFR. Table 1 provides the summary levels associated with each pattern. Under the patterns, Level 1 through Level 5 are ordered performance categories, with Level 1 as the lowest and Level 5 as the highest. Level 1 is

“unacceptable,” Level 3 is “fully successful” or equivalent, and Level 5 is “outstanding” or equivalent. The term “outstanding” can only describe a Level 5 summary.

Table 1. Summary Levels.

PATTERN	1	2	3	4	5
A	YES	NO	YES	NO	NO
B	YES	NO	YES	NO	YES
C	YES	NO	YES	YES	NO
D	YES	YES	YES	NO	NO
E	YES	NO	YES	YES	YES
F	YES	YES	YES	NO	YES
G	YES	YES	YES	YES	NO
H	YES	YES	YES	YES	YES

(2) Procedures for deriving and assigning a summary level will be based on appraisal of performance on critical elements and, where applicable, non-critical elements. A summary level must be assigned when a performance rating is prepared as part of a rating of record.

(3) Performance ratings assigned at times other than the end of the appraisal period (such as at the mid-year review, for promotion panels, or similar situations) do not require a summary level to be assigned, although one is permitted. A summary level, however, is required in accordance with Section 531.404 of Title 5, CFR., when a within-grade increase decision is not consistent with the employee’s most recent rating of record and a more current rating of record must be prepared.

j. Distribution of Ratings.

(1) Performance appraisal programs will not establish a forced distribution of summary ratings.

(2) Distinguishing among employees or groups of employees based on performance for purposes other than assigning a summary level (e.g., for award determinations and promotion decisions) is permitted.

k. Details, Transfers, and Other Special Circumstances.

(1) Performance appraisal programs will establish criteria and procedures to address the performance of employees who are on detail, employees who are transferred, and for other special circumstances established under the program.

(2) In situations involving long-term training, managers and supervisors may develop a performance plan related to the training. The plan could include achievement of specific training objectives. These objectives may be determined to be critical or non-critical.

l. Transfer of Rating.

(1) Performance appraisal programs will establish criteria and procedures to address the performance of employees who are transferred. These criteria and procedures will provide for a transfer of the employee's most recent ratings of record and any subsequent performance ratings when an employee transfers.

(2) DoD Components may consider transferred ratings covering an employee's performance within their current appraisal period when deriving the next rating of record.

m. Related Personnel Actions.

Performance appraisal programs will provide for performance appraisals to be used as a basis for taking appropriate personnel actions, in accordance with applicable provisions of laws and regulations.

n. Below "Fully Successful" Performance.

Performance appraisal programs:

(1) May provide that managers and supervisors give assistance to employees whose performance is determined to be below "fully successful" or equivalent but above "unacceptable" at any time during the appraisal period.

(2) Will require managers and supervisors to assist and provide employees an opportunity to improve unacceptable performance. Assistance may be provided at any time during the appraisal period that performance is determined to be "unacceptable" in one or more critical elements.

(3) Will provide for reassignment, reduction in grade, or removal of employees who continue to have unacceptable performance, but only after such employees have an opportunity to demonstrate acceptable performance.

(4) Will provide for review and approval of "unacceptable" ratings of record by a higher level management official.

o. Veterans' Ratings.

Performance appraisal programs will provide that the rating of record or performance rating for a disabled veteran will not be lowered because the veteran has been absent from work to seek medical treatment, in accordance with Section 430.208(f) of Title 5, CFR.

4.4. IMPLEMENTATION.

a. In accordance with Section 430.201(b) of Title 5, CFR, and this volume, DoD Component performance management plans approved by the Office of Personnel Management prior to this volume's effective date will continue as appraisal programs under the DoD Performance

Appraisal System. Actions initiated against unacceptable employees under a performance management plan in existence before this volume's effective date will continue to be processed consistent with that pre-established plan.

b. When DoD Component heads request new or revised performance appraisal programs, DoD Component heads will provide the DASD(CPP) a copy of the drafted new or revised performance appraisal program. Refer to Paragraph 2.2. on responsibilities of DASD(CPP).

GLOSSARY

G.1. ACRONYMS.

ACRONYM	MEANING
CFR	Code of Federal Regulations
DASD(CPP)	Deputy Assistant Secretary of Defense for Civilian Personnel Policy
DoDD	DoD directive
EEO	equal employment opportunity
U.S.C.	United States Code

G.2. DEFINITIONS.

Unless otherwise noted, these terms and their definitions are for the purpose of this issuance.

TERM	DEFINITION
additional performance element	Defined in Section 430.203 of Title 5, CFR.
appraisal	Defined in Section 430.203 of Title 5, CFR.
appraisal period	Defined in Section 430.203 of Title 5, CFR.
appraisal program	The specific procedures and requirement for appraisal established within the DoD Components under the policies and parameters of the DoD Performance Appraisal System.
appraisal system	DoD-wide policies and parameters governing performance appraisal programs pursuant to Title 5, U.S.C., and Title 5, CFR.
critical element	Defined in Section 430.203 of Title 5, CFR.
non-critical element	Defined in Section 430.203 of Title 5, CFR.
outside of the United States	Outside of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the territories and possessions of the United States.
performance	Defined in Section 430.203 of Title 5, CFR.

TERM	DEFINITION
performance plan	All of the written or otherwise recorded performance elements that establish expected performance. A performance plan must include all critical and non-critical elements and their performance standards. It also may include additional performance elements and their performance standards, if any.
performance rating	Defined in Section 430.203 of Title 5, CFR.
performance standard	Defined in Section 430.203 of Title 5, CFR.
progress review	A periodic discussion between supervisor and employee about performance compared to the performance standards of critical and non-critical elements.
rating of record	Defined in Section 430.203 of Title 5, CFR.
summary level	An assigned category of performance from Level 1 through Level 5, with Level 1 as the lowest and Level 5 as the highest.

REFERENCES

- Code of Federal Regulations, Title 5
- DoD Directive 1400.25, “DoD Civilian Personnel Management System,” November 25, 1996
- DoD Directive 1440.1, “The DoD Civilian Equal Employment Opportunity (EEO) Program,” May 21, 1987, as amended
- DoD Directive 5124.02, “Under Secretary of Defense for Personnel and Readiness (USD(P&R)),” June 23, 2008, as amended
- DoD Instruction 1400.25, Volume 451, “DoD Civilian Personnel Management System: Awards,” November 4, 2013, as amended
- DoD Instruction 1400.25, Volume 2011, “DoD Civilian Personnel Management System: Defense Civilian Intelligence Personnel System (DCIPS) Performance Management,” May 7, 2016, as amended
- Federal Register, current edition
- Office of Personnel Management Memorandum, Military Sealift Command Exclusions, February 24, 1981¹
- Office of Personnel Management Letter, “Approval of the DoD Performance Appraisal System Covering Non-Senior Executive Service/Senior Level and Science and Professional Employees,” August 10, 2021²
- United States Code, Title 5
- United States Code, Title 10, Section 4121

¹ Available at <https://www.dcpas.osd.mil/sites/default/files/2021-12/OPM%20Memo%20MSC%20Mariners%201981.pdf>

² Available at <https://www.dcpas.osd.mil/policy/performance/generalperformancemanagement>