

**BY ORDER OF THE COMMANDER
SPACE AND MISSILE SYSTEMS
CENTER**

**SPACE AND MISSILE SYSTEMS
CENTER INSTRUCTION 36-108**

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Personnel

**FUNCTIONAL MANAGEMENT OF
FINANCIAL MANAGEMENT
PERSONNEL**

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This instruction implements Air Force Instruction (AFI) 36-601, *Air Force Civilian Career Program Management*. This instruction establishes the Space and Missile Systems Center (SMC) Financial Management (FM) processes for managing all SMC financial management personnel. It prescribes structure, policies, processes, and responsibilities governing the career development, recruitment and management of the FM workforce. This instruction provides guidance in support of the SMC/FM Strategic Goals of developing a quality workforce and optimizing the human resource allocation process. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) using the AF Form 847, *Recommendation for Change of Publication*; route AF Form 847s from the field through the appropriate functional's chain of command. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with Air Force Manual (AFMAN) 33-363, *Management of Records*, and disposed of in accordance with Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS).

1. Governance.

1.1. The governance and functional management of all FM personnel is the responsibility of the Comptroller. The SMC Financial Management Strategic Council (FMSC) has been created by the Comptroller as SMC's senior FM strategic decision-making body for all personnel management issues. It is chartered to provide transparent strategic direction towards achieving the SMC/FM vision and mission. The FMSC is responsible for

developing, approving, and implementing initiatives that increase the depth and breadth of experience, knowledge, skills, and overall professional development of the FM workforce. The FMSC is chartered to develop a fully trained workforce capable of supporting SMC mission needs, while providing the right internal assignment opportunities for those who wish to grow into future leadership roles. The FMSC is the Comptroller's decision forum for internal reassignments, selections for competitive training opportunities, succession planning, career broadening, and assessing future developmental and skill mix needs.

1.1.1. The FMSC is chaired by the Comptroller (SMC/FM) and includes the Deputy Comptroller, Chief, Financial Analysis Division (SMC/FMA), Chief, Cost Analysis and Earned Value Division (SMC/FMC), Chief, Resources and Management Operations Division (SMC/FMR), Chief, Program Executive Officer for Space Staff (SMC/PIF) as well as Directorate Program Control Chiefs (PCCs). The Chief, Resources and Management Operations Division serves as the FMSC secretary.

2. Workforce Management.

2.1. The Comptroller is responsible for succession planning, career broadening, and assessing future skill needs as well as developing policies and processes for effective workforce management and career development. The Comptroller has delegated the administrative aspects of the responsibilities above to the FMR Chief, who is also the Career Development Manager (CDM).

2.2. The CDM supports the matrix management process by providing leadership with appropriate background material and following through with personnel actions required by all decisions. Additionally the CDM does the following to enable employees throughout the development process:

2.2.1. Verifies Air Force Standard Core Personnel Documents accurately portray the duties of civilian positions.

2.2.2. Verifies supervisors develop and maintain accurate and relevant individual development plans for each employee.

2.2.3. Acts as a liaison between FM employees and SMC/DP resolving problems with records or personnel actions.

2.2.4. Changes the functional skill mix of 65XX-coded positions to better match employees to positions, when requested by a directorate.

2.2.5. Initiates all Requests for Personnel Action (RPAs) except for SMC/SL positions. PCCs and staff office division chiefs provide requirements to the CDM for fill actions.

3. Talent Acquisition.

3.1. The Comptroller is responsible for providing each organization with financial management support sufficient to perform the mission. This is accomplished through recruitment or direct hiring actions. Recruitment is used in conjunction with a long-term recruitment plan that includes an organized evaluation of needs. The long term recruiting plan is accomplished and updated annually by the FMR Chief. FM is committed to maintaining a diverse workforce at all levels and must continuously strive to acquire and develop a workforce that places high value on individual respect, dignity and professional growth.

3.1.1. PCCs, Budget and Cost Functional Managers must provide input to the FMR Chief regarding development of recruitment and hiring strategies that would attract talent, and increase hiring and retention of employees to include number of employees and selection of job fairs to attend. The FMR Chief will implement the recruiting plan procedures, schedule job fairs, and provide the necessary recruitment materials, advice and assistance to selecting officials when vacancies occur. The FMR Chief will also provide assessment of resumes and transcripts, coordination of security clearances during the employment suitability and adjudication process, and guidance to selecting officials on DCIPS pay setting, superior qualifications requests, and recruitment/retention bonuses.

3.2. Hiring Process.

3.2.1. SMC/FMR is responsible for the civilian hiring process and will initiate all RPAs (except for Geographically Separated Units (GSUs). The RPA process for GSUs is described in Paragraph 3.2.20). The PCCs and FM staff division chiefs will provide requirements to SMC/FMR for fill actions.

3.2.2. FMR identifies vacancies to the PCCs and Budget and Cost Functional Managers and sends a fill requirements sheet to document fill requests.

3.2.3. FMR initiates the hiring RPA NLT one day after receipt of fill requirements sheet. If there is a request for approval for bonus/incentive or position restructure, the RPA is initiated NLT two days after the approval request is received from AFPC Career Programs. PCCs and staff office division chiefs may request changes to the functional skills mix of any 65XX-coded positions through the FMSC. Functional skills mix changes include changes to civilian occupational series/code, military Air Force Specialty Code, grade level/pay band, supervisory level code, and authorization type (military, civilian or contractor). Skills mix changes will only be made by SMC/FMR, upon direction from the FMSC.

3.2.4. FMR notifies the workforce of all 65X/15X job vacancies by posting job announcements on the FM webpage located on the SMC intranet website and sends notification to FM personnel via email.

3.2.5. Selection panels are required for most financial management civilian positions at SMC except for targeted promotions. Selection panels are not required for candidates that previously held the grade being considered. If the supervisor/selecting official reviews the candidate's records and considers the candidate qualified for the position, then he/she may select the candidate for the grade previously held without competition (5 C.F.R. § 335-103(c)(3)(iv)).

3.2.6. Submitting a By-Name Request (BNR) for an individual does not negate the requirement to use the panel process. The BNR will only ensure the requested individual appears on the certificate.

3.2.7. If a selecting official wishes to employ direct hire authority, they must coordinate with the budget or cost functional manager as well as SMC/FMR prior to an RPA being submitted. SMC/FMR will submit the request to the Comptroller for a decision.

3.2.8. Prior to receiving the selection certificate, FMR will notify the SMC/FMA or SMC/FMC division chief (depending on the job series of the vacancy), who will assign a panel chair for all hiring actions (to include GSU vacancies) for both staff and matrix vacancies except for GG-15 positions, which will be led by SMC/FM. The panel chair will select the remaining panel members per paragraph 3.2.9 below. FMR will then provide the hiring procedures checklist, interview question options (if interviewing candidates), standard scoring matrix and standard supervisor questionnaire to the panel chair. The panel chair will meet with panel members to select interview questions (if interviewing candidates) and allocate points with specific criteria within elements of the scoring matrix. All panel members will sign a non-disclosure agreement.

3.2.9. FMR sends the selection certificate with resumes to the panel chair NLT one day after receipt of certificate from USA Staffing (AFPC). All fills will be competitively selected at the grades of GS-12 and above using an interview panel. At the grades of GS-11 and below, no interview panel is required. The local Master Labor Agreement for bargaining unit positions remains unchanged by this policy. Selection and interview procedures will be adhered to until such time a new contract has been negotiated. Selection panels will be led by a representative from the FM staff, have gender and racial diversity, have one person from outside the functional area being hired and one person from the directorate with the vacancy. The grade of the panel chair must be greater than the position grade. The other panel members may be equal to or higher than the position grade. The panel will be chosen as soon as the RPA is requested from AFPC. Local union representatives and Labor Relations Officer will be involved with the process as required to meet collective bargaining unit requirements.

3.2.10. The panel will utilize the FM standard scoring sheet for all competitive hiring actions. The categories within the scoring sheet have pre-determined values for the various grades and GG vs. GS. Prior to receiving the certificate and/or resumes, the panel chair will schedule a meeting with panel members to establish the specifics of the point allocation within each scoring category. The allocation will be customized to support the requirements of the specific job that is being filled. For example, in the category Work Experience, if the hire is for an acquisition budget analyst, heavier weight or more points can be given for acquisition experience. The core document (COREDOC) shall be used to help make appropriate point allocations. The panel should also identify the interview questions they plan to use at this time (sample questions available from SMC/FMR).

3.2.11. Once the certificate is received, all panel members will perform independent scoring of the resumes and will then meet to normalize the scores.

3.2.12. Based on the resume scoring, panel members will seek performance feedback from candidates' previous supervisors. The standard FM supervisor questionnaire will be used. Contact with the current and two previous supervisors is required. The supervisors will be requested to validate the applicants' resume and answer a few questions about the applicants' performance. The determination of how many applicants require supervisory feedback is as follows: all or the top fifteen candidates for bargaining unit positions; non-bargaining unit positions require candidates deemed "highly qualified." Caveat: If an applicant has received so few points on the resume as to make it a mathematical impossibility to compete, that applicant does not need supervisory feedback. The panel

should document this as part of the selection documentation package. The panel may share the responsibility to contact previous supervisors and then re-convene to consolidate scoring. Reference Paragraph 3.3, Step 2 for details.

3.2.13. Based on the totals for resume and supervisory performance feedback scoring, the top candidates should be interviewed by the panel utilizing the previously selected interview questions (Note: See paragraph 3.2.12 for determination of who/how many to interview).

3.2.14. Interviews are conducted by the entire selection panel. The interview shall consist of four to five questions to be answered within a 30 minute time period. Applicants may not bring notes or any media with them, but will be provided a pad and pencil to take notes during the interview. They will be allowed an opportunity to ask questions of the panel prior to the actual interview. Panel members may not answer questions or be interactive during the interview, but can re-read the question as the applicant requests. Each panel member shall take notes that will become part of the selection documentation package. As soon as the applicant leaves, the panel will individually score each question according to the established point spread. They will have a discussion to determine the amount of points to award for each question and then total the points. Phone interviews will be conducted with individuals who cannot attend the interview in-person.

3.2.15. After all interviews are concluded, the panel will review the total scores and determine the top choice and alternate(s). The decision will be based on highest scores and determination of the most qualified person(s) for the job. The panel will document their choices and submit for review and concurrence by the appropriate hiring organization authority, budget or cost functional manager and final approval from the Comptroller (all members will sign the final package and recommendation). If the selection is a GG-14/GG-15, the selection must be staffed through SMC/DP for SMC/CC approval.

3.2.16. Once a selection is made (or if a selection is not made), the selecting official is required to annotate the certificate and transmit the final selection determination to SMC/FMR. SMC/FMR will submit to AFPC via USA Staffing. The selection package documentation will be maintained by SMC/FMR for two years. The hiring organization must also maintain the paperwork for two years for audit purposes. The selection package will consist of the certificate, completed scoring matrix with criteria, supervisory feedback sheets, and signed interview notes from each panel member and the hiring recommendation letter signed by all panel members.

3.2.17. AFPC will make notification of selection or non-selection. Selection may not be made public until AFPC receives final acceptance from selectee.

3.2.18. If feedback is requested by non-selectees, the selecting official or panel chair will be responsible to provide consolidated feedback within five business days after the selectee reports for duty.

3.2.19. If an extension to a certificate is required, the selecting official must request the extension through SMC/FMR.

3.2.20. GSUs will initiate hiring actions using an RPA and checklist to the servicing civilian personnel office. Information on the checklist provides the necessary details for all parties to initiate the requested recruitment or other personnel action, and it will be completed by the servicing personnel liaison at the applicable GSU. To ensure position fill actions are properly coordinated with SMC/FM, the servicing personnel liaison will annotate on the RPA and checklist the name of the Budget or Cost Functional Manager (depending on the type of vacancy) as an "Alternate Selecting Official." This will enable the AFPC Human Resource Specialist to contact either the primary or alternate selecting official and issue the referral certificate to both. The RPA and checklist should include the name, rank, email address and DSN/commercial phone number for the alternate selecting official. All other aspects of the hiring process described in Paragraph 3 above apply to GSUs.

3.3. Employment Suitability Process.

3.3.1. **Step 1: Resume Evaluation.** The panel members will review resumes for experience, training, education and other criteria as shown in the hiring scoring matrix. These evaluations are conducted to determine if candidates have sufficient experience and qualifications to meet the requirements of the position and to develop a resume score for candidates' based on competencies, knowledge, skills, abilities and experience in the budget, cost or earned value management fields as indicated on the scoring matrix.

3.3.2. **Step 2: Collection of Performance Feedback.** Once resume scores have been completed by the panel and a relative ranking is derived from these scores, the panel (typically the chair) will collect feedback from the three most recent supervisors to cover a period of a minimum of three years employment history. In the event all three most recent supervisors cannot be contacted, the panel will derive a score based on those supervisor inputs they were able to collect. This process will utilize the DCIPS scale of 1-5 and follow the format provided in the supervisor feedback questionnaire. If the panel cannot contact the current or any previous supervisors, the candidate will be given a default score of 3 for each of the three performance rating periods.

3.3.3. **Step 3: Interview.** When required or deemed appropriate, personal interviews will be conducted by the hiring panel to gain further insight into candidates' knowledge, skills and abilities.

3.3.4. **Step 4: Conditions of Employment Assessment.** For many positions there will be required conditions of employment that must be satisfied before a firm entry date can be established. They include the ability to obtain a security clearance, successful passing of a drug test, confirmation of education (i.e. transcripts), confirmation of certification/licensing requirements (when applicable), and a signed verification of appointment eligibility form.

4. Personnel Movement/Management Reassignment.

4.1. The criteria for movement of personnel are dependent upon mission requirements, time in current assignment, expansion of duties, pending actions (i.e., retirement, separation, PCS, etc.), employees' career objectives, and views of the FM leadership in the affected organizations. Prior to any movement of personnel, employees are encouraged to complete a civilian development survey (section 5.2). The surveys are presented to the Civilian

Development Panel (CDP), who will review the employee's self-assessment, long and short-term career goals, employee's resume, career reports, and the supervisor's assessment to determine the candidate's reassignment readiness, including areas of focus on his/her current job. Prior to providing written recommendations to the employee, the Comptroller will share the recommendations at the FMSC. The CDP process will be the primary mechanism for management initiated reassignments. In rare circumstances, directors, directorate PCCs or budget and cost functional managers may request internal lateral reassignments through the FMSC but these will be the exception, not the rule. Movement between organizations enhances personnel development and enables career progression through broadening of skills. Personnel with less experience require a more structured development process that moves individuals more rapidly between organizations than for experienced employees. Generally, personnel at the higher grades (GG-15) tend to stay in the same directorate for organizational continuity, mission assurance, and personnel development and training. GG-14s will move less often (i.e. every 5 years) but should be offered the opportunity to expand their career objectives via rotations in different directorates to gain broader perspectives of SMC functions. Movement recommendations of civilian personnel (except SMC/SL) in the grades of GG-14 and GG-15 will be coordinated with losing SPO Director and presented to the SMC/CC for concurrence. GG-13s and below may move more often (i.e. every 3 years) for the same reasons. Field Grade Officers (FGOs) will be reviewed for movement after 18 months in the same activity, and Company Grade Officer (CGOs) will be reviewed for movement after 24 months in the same activity. Mission requirements, deployment vulnerability and developmental education status will play a pivotal role in the decision. The FMSC ensures organization integrity and maintenance of financial management capabilities by allowing no more than 20% of an organization's personnel to be reassigned within a 12 month period. The FMSC is the decision-making body for all military and civilian moves unless downward-directed by senior SMC leadership. Personnel movement is based on grade and series of FM resources within the FM matrix. The communication of the FMSC decisions to employees being moved will include a career counseling session by the losing PCC or budget/cost functional manager. For cost personnel movement, the FMC Division Chief, with program director and PCC coordination, assigns cost chiefs, leads, and analysts to their positions and may rotate them as needed to achieve better skill, experience, and matches between personnel and positions. See Section 3.3.1 of SMC Instruction 63-109, SMC Cost Centralization, for details on Human Resource Management. FMR will initiate a reassignment RPA for processing to AFPC. The reassignment will be formally documented with a Notice of Personnel Action and filed in the employee's official personnel folder.

5. Career Development.

5.1. Employees are encouraged to complete the civilian development survey. The surveys are presented to the CDP, who will vector candidates who are interested in developing their careers or becoming future leaders in the FM career field. Completing the survey is voluntary. Vectors will be patterned off of well-established higher headquarters expectations for FM career employee development, which includes the requisite higher education (Bachelors/Master's degree), professional military education (BDE, IDE, SDE), FM career field training courses (BFMOC, PFMC, DFMCS), professional certification (i.e. CPA, CDFM, DoD FM Certification), acquisition professional development (APDP Level I-III), and breadth of experience. The opportunities for this type of development will be afforded to

those employees who put forth maximum effort at being effective in their jobs, while pursuing the required education and training opportunities. If the panel recommends movement of the participant, the FMR Chief will forward the survey with vector comments to the FMSC. At the FMSC, personnel reassignment options for participants are evaluated and any proposed personnel moves are identified for further action. The gaining and losing organizations take the action to notify their Directorate leadership and obtain concurrence on the proposed move and timing. Once all parties agree to a proposed move, it is approved by the Comptroller and FMR initiates any necessary personnel action.

5.2. Career Development Survey. FMR will publicize the survey across the FM workforce, as required, to gather candidates interested in receiving career/leadership development vectors.

5.3. Career Development Panel. The panel includes the Comptroller, Deputy Comptroller, and a Program Control Chief. The panel will convene to review all career development surveys and provide feedback to interested candidates. The vector will include panel recommendations on types of assignments, training, experiences and education each candidate requires for further growth and opportunity to lead.

5.4. Career broadening involves temporarily rotating into a position within a different career field. Individuals may request rotations by completing the career development survey after notifying their leadership chain. The survey will be presented to the CDP for recommendations and the Comptroller will discuss the information at the FMSC for consideration, along with any comments from the individual's current PCC/3-Ltr chief. Movement notifications will be made by the losing PCC or FMR.

6. Intern Program.

6.1. The intern program is designed to recruit, develop and retain a group of diverse future leaders. Newly hired FM interns will be assigned to the budget or cost functional managers. Each functional manager will recommend rotational assignments to the FMSC after a successful indoctrination period of typically one year. While participating in the program, intern development will take place through on-the-job training, research assignments, SMC workshops and seminars, and mentorships aimed at developing the skills necessary for professional growth. This process helps prepare the candidate for a career in budget, cost analysis and/or earned value. Depending on the candidate's experience or educational level, they can enter the intern program at the GS-4 through GS-9 level. Internship is an incredible opportunity for college students as it allows students to be part-time or full-time employees while gaining valuable experience in the financial management career field. A primary benefit of some intern programs is that work schedules are structured around the student's class schedule, and the student receives supervised tasks and training that provide experience and education while helping them develop into contributing members of federal service. The Workforce Development Director will provide oversight for all financial management interns at SMC.

6.2. Intern Hiring Process. Internship is a competitive process and is based on projected needs of the organization. To be considered for the Financial Management Intern Program, candidates must meet educational requirements (minimum 2.0 GPA) and have an outstanding civil record, exemplary employment history (if applicable), be financially responsible, and have the ability to obtain the necessary security clearance for federal employment.

6.2.1. Budget and cost functional managers are responsible for selecting intern program candidates. The FMR Chief will review candidate's educational transcripts for qualification of the internship program. FMR will obtain budget and cost functional manager recommendations and Comptroller approval of intern hiring prior to FMR initiating hiring action. FMR will prepare hiring documents and forward approved documents to SMC/DP for processing.

6.3. Due to the unique nature of the intern program, each type of intern will have a specific career path and method of moving between offices and assignments. The budget and cost functional managers will conduct semi-annual bottom-up reviews of manpower with the PCCs to determine requirements. The assessment will recommend the grade, type (PATHWAY/PMF/PAQ/Cost Developmental), time and projected out-placement of interns. Assessment will be presented to the FMSC for approval and FMR's execution.

6.3.1. PATHWAY program interns are junior trainees who spend a large part of their time focused on getting their college degree. PATHWAY interns will be entered into a functional training program, however, their school and work schedules may influence their progress in the program. PATHWAY interns may not progress through the program as quickly as interns in the Presidential Management Fellow (PMF) or Palace Acquire (PAQ) programs. The budget and cost functional managers will conduct semi-annual bottom-up reviews of manpower with the PCCs to determine requirements. Assessments will be presented to the FMSC for approval and FMR's execution. Coordination will be made between the gaining supervisor, losing supervisor, and individual. Movement notifications will be made by FMR. Since PATHWAY interns are overhires, they will be assigned to FM Staff for management purposes but they may work in a program office.

6.3.2. Presidential Management Fellows (PMF) are interns with graduate degrees. PMF interns are part of a two-year program where after successful completion of the program, the candidate may be placed into a permanent position. The PMF will be assessed for movement after 12 months in the program and will be expected to move before reaching two years. The budget and cost functional managers will review career readiness for assignment and make appropriate recommendations to the FMSC. Coordination will be made between the gaining and losing supervisor as well as the individual. Realignment of PMF personnel must also be coordinated through the civilian personnel PMF manager. Movement notifications will be made by FMR. Since PMF interns are overhires, they will be assigned to FM Staff for management purposes but they may work in a program office.

6.3.3. Palace Acquire (PAQ) interns are assigned to AFPC but receive training through their unit of assignment. PAQs have detailed training plans that must be followed. Functional managers will ensure all PAQs receive necessary training and will evaluate each PAQ to determine readiness for next rotational assignment, making appropriate recommendations to the FMSC. Coordination will be made between the gaining supervisor, losing supervisor, and individual. Movement notifications will be made by FMR. Since PAQs are overhires, they will be assigned to FM Staff for management purposes but they may work in a program office.

6.3.4. Cost developmental interns are college graduates (at least a bachelor's degree) who must have a minimum 3.0 GPA to qualify for a GS-07 position. Interns that meet

the requirements are hired into GS-07 target GS-11 positions. They will undergo training similar to PAQs and the cost functional manager will evaluate each cost developmental intern to determine readiness for next rotational assignment, making appropriate recommendations to the FMSC. Once they complete the three-year intern program, they are qualified GS-11 cost analysts. Since cost interns are placed on permanent positions, they will be assigned to the organization where the vacancy exists.

6.3.5. Operational Research interns are college graduates (at least a bachelor's degree) who must have a minimum 3.0 GPA and have taken the requisite higher level math and at least 3 hours of Calculus to qualify for a 1515 job series. Operations Research interns are hired into GS-07 target GS-11 positions. Like cost interns, they will undergo training similar to PAQs and the cost functional manager will evaluate each Operational Research intern to determine readiness for next rotational assignment, making appropriate recommendations to the FMSC. Once they complete the three-year intern program, they are qualified GS-11 Ops Research analysts. Since ops research interns are placed on permanent positions, they will be assigned to the organization where the vacancy exists.

6.3.6. Developmental program interns are normally in grades GS-07 through GS-11. They are permanent employees that completed the PATHWAY program, and are working toward a graduate or higher level degree. They are full-time trainees and will be enrolled into the functional training program appropriate to their job series (e.g. 0501, 0560, and 0599 etc.). The budget and cost functional managers will review intern career readiness for reassignment and make appropriate recommendations to the FMSC. Personal career goals will be considered in the determination of next assignment via the Career Development Survey. Coordination will be made between the gaining supervisor, losing supervisor, and individual. Movement notifications will be made by FMR. Since developmental program interns are placed on permanent positions, they will be assigned to the organization where the vacancy exists.

6.4. After an intern has successfully completed their internship, placement of the individual will be determined by the FMSC based on current openings within SMC.

7. Training and Development.

7.1. The Individual Development Plan (IDP) is a tool for civilian personnel used to address professional development including career broadening, education and training, DAU certification and mentoring. It is the responsibility of all supervisors to ensure that every employee has a valid IDP on file in their personnel folder (971). An IDP must be completed no later than 30 days after the beginning of a rating period and not later than 30 days after being assigned to a new organization or position. Employees must complete the IDP found on the SMC/FM homepage, click on "myFMCareer IDP" (<https://insidesmc.losangeles.af.mil/sites/fm/default.aspx>).

7.1.1. Recertification of IDPs is accomplished annually. Supervisors are required to review the employee's IDP during the mid-year performance review process and make updates as necessary. General Schedule employees are required to have a new IDP to coincide with their annual performance appraisal period (1 Apr XX - 31 Mar XX). Defense Civilian Intelligence Personnel System employees must complete their IDP to coincide with their rating period (1 Oct XX - 30 Sep XX).

7.2. Acquisition Professional Development Program (APDP) administration responsibilities rest with the Comptroller, who ensures all employees have the opportunity to perform required functional training. FMR provides the Comptroller overall status of personnel meeting APDP requirements and works with training managers to process APDP waivers and update status. FMR also provides a monthly status report to the FMSC on personnel meeting/not meeting APDP requirements.

7.2.1. APDP Waiver (Matrix Personnel). If a waiver is determined necessary and the applicant is assigned to a matrix organization, the waiver is submitted by the matrix training manager via the Acquisition Technology & Logistics Workforce Waiver System (AT&L). The DD Form 2905 is generated from the AT&L system and must be completed with justification that includes course schedule and a get well date. In addition, a current Acquisition Career Management System (ACMS) Surf must be included in the waiver package reflecting training history. A copy of the waiver package (DD Form 2905 and ACMS surf) is sent to the FM training manager for review/validation. After the FM training manager validates the requirement, the matrix training manager will obtain signatures from the applicant's supervisor and director. The waiver package is then sent back to the FM training manager for the Comptroller's review. After Comptroller review/approval, a coordination note will be sent to the matrix training manager to be added to the waiver package (DD Form 2905, ACMS Surf and Comptroller's coordination note) and released to 61 FSS/FSDT (LAAFB Education Office) for final processing.

7.2.2. APDP Waiver (Staff Personnel). If a waiver is determined necessary and the applicant is assigned to FM Staff, the waiver is processed by the FM training manager via the AT&L system. The DD Form 2905 is generated from the AT&L system and must be completed with justification (includes course schedule and a get well date). In addition, a current ACMS Surf must be included in the waiver package reflecting training history. After the FM training manager validates the requirement, he/she will obtain the applicant's supervisor signature and then forward the waiver package to the Comptroller for review and approval. After Comptroller review/approval, the waiver package (DD Form 2905, ACMS Surf and Comptroller's coordination note) is submitted to 61 FSS/FSDT (LAAFB Education Office) for final processing.

7.3. Continuous Learning Points (CLPs) are required by DoDI 5000.66, which establishes the standard that defense acquisition workforce members must acquire 80 CLPs every two years from the date the member is assigned to an acquisition coded position. It highly encourages members to complete at least 40 CLPs each fiscal year as a goal. CLPs are attained through completion of DAU/non-DAU classes, conferences, seminars, local courses and a host of work-related and volunteer activities. FMR tracks and validates FM personnel CLPs and provides a monthly status report to the Comptroller and FMSC on personnel meeting/not meeting CLP requirements. Additionally, a monthly delinquency notification will be sent to both the member and their supervisor. For general information concerning CLPs, access the following web link: <https://www.atrrs.army.mil/channels/acqnowcl/registrar/>. For specific information concerning approved CL activities, access the following web link: https://www.my.af.mil/gcss-af/USAF/content/cl_activities.

7.4. DoD FM Certification is required for all DoD FM personnel and personnel outside of the FM occupational series that are identified by the organization as performing FM functions. Similar to the APDP, there are three levels in which individuals have 24 months to obtain certification after being assigned to an FM coded position or duty.

7.4.1. Level 1 Certification is required for FM positions coded Level 1 and is based on four elements: FM Competencies, Leadership Competencies, Other Required Training, which is the DoD FM 101 Web-based Course, and FM Experience.

7.4.2. Level 2 Certification is required for FM positions coded Level 2 and is based on four elements: FM Competencies, Leadership Competencies, Other Required Courses, and FM Experience.

7.4.3. Level 3 Certification is required for FM positions coded Level 3 and is based on five elements: FM Competencies, Leadership Competencies, Other Required Courses, FM Experience and a Developmental Assignment. The developmental assignment is a 3-month assignment outside of the member's current primary track. Previous work in another track will fulfill this requirement. Work within the same track may also fulfill the requirement if it was accomplished at a different organizational level.

7.4.4. Alternate Track. Individuals who are assigned to Level 2 or 3 FM coded positions also must complete an alternate track. The alternate track represents a field they do not currently work in, which allows for broadening of financial management knowledge.

7.4.5. Waivers. Personnel unable to meet certification requirements due to no fault of the individual can submit a waiver. There are two types of waivers: DAWIA Experience and Time Extension Waiver.

7.4.5.1. DAWIA Experience Waiver. DoD FM Certification candidates who have completed all APDP training requirements and FM certification requirements but do not have enough experience to obtain APDP certification can apply for a waiver to obtain their DoD FM Certification.

7.4.5.2. Time Extension Waiver. This waiver process is for individuals who will not be able to obtain their DoD FM Certification within the two-year time frame. This applies to people that do not have the experience, were deployed, unable to enroll in APDP courses, have medical or other situations that may have hindered them from obtaining their DoD FM Certification within the specified due date. Time extensions are good for only one year.

7.4.5.2.1. The time extension waiver request requires the individual to complete the DoD FM Certification Time Extension Request Form in the Learning Management System (LMS). The form is used as a source document and must be uploaded into LMS, then submitted for approval.

7.5. Statement of Understanding. DoDI 1300-26 (Operation of the DoD Financial Management Certification Program) requires all individuals assigned to a financial management workforce position to meet the DoD FM Certification requirements. All FM employees will sign the Statement of Understanding when the position is designated to be in the certification program. Newly assigned civilian FM employees will sign the Statement of Understanding prior to entry into the position.

8. Appraisals/Evaluation Performance Reports.

8.1. Employee performance expectations must be addressed and understood by both employee and supervisor. Supervisors must document performance in employee work folders and both the employee and supervisor must make an annotation that they understand the performance and behavior standards.

8.2. Employee performance that fails to meet acceptable standards must be promptly addressed by the supervisor. The supervisor must address specific behaviors or performance issues and outline corrective actions to the employee. Supervisors must document any substandard performance and the corrective actions taken in the employee's work folder. Employees not meeting acceptable performance standards and/or behavior are not eligible to participate in leadership development or job rotation, nor can a supervisor use the rotational assignment to address performance issues. Employees not meeting acceptable standards must be given an opportunity to improve their performance.

8.2.1. The Performance Improvement Plan (PIP) is a management tool designed to help improve employee performance. The PIP is a structured training plan designed to help employees address specific elements of their job that are not being performed at an acceptable level. The PIP is not designed to punish the employee, but rather give the employee an opportunity to demonstrate their ability to perform the task(s) assigned. If a supervisor is establishing a PIP on an employee, they must gain concurrence of both civilian personnel and the legal office.

8.2.2. If an employee is unable to perform their assigned job, and has been given sufficient opportunity to improve their performance and/or behavior, the supervisor may address further options with the Comptroller. Sufficient opportunity means the employee has been given proper training on the task(s), a PIP has been established, and the employee is still unable to perform at an acceptable level. The employee's work folder must be properly documented to reflect training, counseling and employee acknowledgement of their performance and counseling to support any further action.

8.3. GS Appraisals. FMR has primary responsibility of tracking all FM staff appraisals. Status reports for FM Staff personnel are provided to the Comptroller at the FM weekly staff meeting. Appraisals must be written on employees that have at least 90 days of supervision closing out 31 Mar of each year. The performance reporting period is 1 Apr XX through 31 Mar XX. New employees arriving after 31 Dec of the reporting period will not get an appraisal. Employees who have less than 90 days of supervision, but worked under a different supervisor for greater than 90 days, will have their appraisal written by their previous supervisor.

8.4. Defense Civilian Intelligence Personnel System (DCIPS) is a performance-based rating system that is comprised of: performance evaluation through performance objectives and elements, midpoint review, and rating official assessment. (See Section 1.2.4 of the SMC Cost Centralization Instruction for details on FM review of cost personnel appraisals).

8.4.1. Performance evaluation is established by the employee and supervisor at the beginning of the rating period and is comprised of the Performance Objective and Performance Element.

- 8.4.1.1. Performance objectives are agreed to by employee and supervisor at the beginning of each appraisal cycle. Ratings are based on employee accomplishment of their performance objectives. A rating of 1–5 is given by the supervisor (any performance objective rating of “1” results in an overall final evaluation rating of “1” regardless of the rating of other objectives). (See Section 1.2.4 of the SMC Cost Centralization Instruction for details on FM review of cost personnel appraisals).
- 8.4.1.2. Performance elements are completed by comparing the employee performance to the expectation for each specific element. Employees must meet the descriptor to receive a successful rating.
- 8.4.2. Midpoint review is provided by the rater to the employee at the mid-point of the rating period. Details of progress towards accomplishment of objectives and elements must be included in the review and both the rater and employee must sign the review acknowledging progress.
- 8.4.3. Rating official assessment is performed by reviewing the employee's assessment of each performance objective and performance element at the end of a rating period. The rater provides a rating on how successfully the employee met the objectives/elements. GG/S-15s in the program office will be rated by their respective Directors. GG/S-15s on FM Staff will be rated by the Comptroller.
- 8.5. Feedback Tracking. Supervisors must provide annual feedback for direct report GS civilian employees. Annual feedback must be conducted by 30 Oct of the reporting cycle. Initial feedback is to be provided NLT 60 days after supervision begins. Feedback must be written, signed by both parties, and filed in the employee's personnel folder.
- 8.6. Military Performance Reports. Officer Performance Reports (OPRs) and Enlisted Performance Reports are prepared, reviewed and routed for signatures by the respective organizations through the organization chain of command. Once necessary signatures are obtained, all OPRs are forwarded to the Comptroller via the virtual Personnel Center (vPC) in myPers for Functional Examiner signature prior to ratee signature. The SMC Comptroller is designated as the Functional Examiner for all SMC financial management officers to ensure functional oversight is provided.

SAMUEL A. GREAVES, Lieutenant General, USAF
Commander

Attachment 1**GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

AFI 33-364, *Records Disposition—Procedures and Responsibilities*, 22 December 2006

AFI 36-2406, *Officer and Enlisted/Evaluation System*, 2 January 2013

AFI 36-601, *Air Force Civilian Career Program Management*, 25 July 1994

AFMAN 36-606, *Civilian Career Field Management and Development*, 3 May 2011

CFR 335-103, *Code of Federal Regulations*, 1 January 2014

United States Office of Personnel Management (OPM) Operating Manual - *Classification & Qualifications*

SMCI 63-109, *SMC Cost Centralization*, 5 September 2014

SMC/CC Letter, *SMC Civilian Selection Procedures*, 15 January 2015

Abbreviations and Acronyms

AFPC—Air Force Personnel Center

APDP—Acquisition Professional Development Program

BDE—Basic Developmental Education

BFMOC—Basic Financial Management Officer Course

CDFM—Certified Defense Financial Manager

CDM—Career Development Manager

CFO—Chief Financial Officer

CPA—Certified Public Accountant

DAU—Defense Acquisition University

DAWIA—Defense Acquisition Workforce Improvement Act

DFMCS—Defense Financial Management & Comptroller School

DP—Directorate of Manpower & Personnel

FM—Financial Management

FMA—Financial Analysis Division

FMC—Cost Analysis and Earned Value Division

FMR—Resource and Management Operations Division

FMSC—Financial Management Strategic Council

GG—General Government

IDE—Intermediate Developmental Education

LMS—Learning Management System

MLA—Master Labor Agreement

PAQ—Palace Acquire

PCC—Program Control Chief

PFMC—Professional Financial Management Course

PMF—Presidential Management Fellow

RPA—Request for Personnel Action

SDE—Senior Developmental Education

SMC—Space and Missile Systems Center

SURF—Single Unit Retrieval Format

VPC—Virtual Personnel Center System

Terms

FM Matrix—All financial management personnel working for SMC (to include Geographically Separated Units) and the 61st Air Base Group that are not assigned to the Financial Management and Comptroller Directorate.

Functional Manager for Budget—FMA Division Chief

Functional Manager for Cost—FMC Division Chief

Functional Skills Mix—Compilation of skill sets desired and/or required for an individual to have to accomplish the tasks assigned.