



SECRETARY OF THE ARMY
WASHINGTON

DEC 16 2011

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Army Directive 2011-13 (Employment and Management of Highly Qualified Experts and Highly Qualified Experts-Senior Mentors)

1. References:

- a. Memorandum, Under Secretary of Defense for Personnel and Readiness, 26 Mar 10, subject: Revised Policy Guidance – Hiring of Highly Qualified Experts (HQEs).
- b. Memorandum, Secretary of Defense, 1 Apr 10, subject: Policy on Senior Mentors.
- c. Memorandum, Deputy Secretary of Defense, 8 Jul 10, subject: Implementation Guidance on Senior Mentors Policy.
- d. Army Directive 2010-03 (Senior Mentors), 16 Jul 10 (hereby canceled).
- e. Memorandum, CSLMO, 20 Jun 07, subject: Employment and Management of Highly Qualified Experts (hereby canceled).
- f. Memorandum, DUSA-CSL, 5 Oct 07, subject: Awards for Highly Qualified Experts (hereby canceled).

2. Policy

a. The Department of Defense (DoD) has prescribed policy for HQEs and highly qualified experts-senior mentors (HQE-SMs) (references 1a through 1c). Consistent with DoD policy, this memorandum provides information on how HQEs are appointed, compensated and used in the Department of the Army. It is essential for the Army to attract HQEs from outside the civil service and the uniformed services with the expertise necessary to contribute to critically important missions.

b. The Secretary of the Army has retained authority to appoint, compensate and terminate HQEs. Execution and management of the HQE program is the responsibility of the Civilian Senior Leader Management Office (CSLMO), an element of the Office of the Assistant Secretary of the Army (Manpower and Reserve Affairs).

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b. CSLMO shall validate that the request package meets all statutory and regulatory requirements and shall verify the candidate's qualifications for the proposed HQE appointment. Each candidate shall be screened for adverse information. CSLMO shall submit the request to the Office of General Counsel for a legal review. If a potential conflict of interest or the appearance of a conflict exists, CSLMO shall notify the candidate and the supervisor the candidate would serve under if appointed to the HQE position as proposed. The candidate and his/her proposed supervisor shall work with the servicing legal office to ensure compliance with ethics requirements.

c. CSLMO will forward to DoD all proposed HQE appointments that require preappointment staffing review in accordance with reference 1a.

d. All HQEs will be placed on an excepted appointment, not to exceed the number of years approved by the Secretary of the Army or his delegate, up to a maximum of 5 years. The proposed length of appointment should be based upon the emergent or short-term requirement for which the HQE is needed. Requests for extension of appointments shall be submitted to CSLMO for approval on a case-by-case basis. Each request must include a justification for retaining the HQE's services and must state how the extension will promote DoD's national security mission and meet an emergent or short-term requirement. No HQE may be appointed in excess of a total of 6 years.

e. An HQE is employed on an at-will basis. CSLMO shall inform each HQE candidate of his/her at-will status in writing when a formal offer is extended to the candidate. However, failure to provide such notification does not provide a basis for continued employment. CSLMO will assist management with obtaining approval to terminate an HQE's employment and executing the termination, whether for expiration of term of service or any other reasons.

f. Notwithstanding an HQE's approved term of appointment, CSLMO shall review all HQE positions at least annually, or more frequently at CSLMO's discretion. At each review, CSLMO shall validate that the position continues to be justified by an emergent or short-term need.

g. Organizations and commands shall periodically review each HQE position to determine the continued appropriateness of the position as an HQE. Each year a member of the Senior Executive Service or a general officer shall provide a certification in writing in accordance with enclosure 2 that:

(1) funds are available for the current fiscal year for the position and the organization/command has a plan for resourcing the position for the ensuing years;

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c. The policy and procedures set forth in this memorandum apply to all Principal Officials of Headquarters, Department of the Army; Army commands; Army service component commands; direct reporting units; and all other Army commands and organizations.

3. Definitions

a. **Highly Qualified Expert:** An individual generally appointed from outside the civil service and the uniformed services who possesses uncommon and recognized knowledge, skills and experience in an occupational field and judgment that is accorded authority and status by peers or the public. An HQE has substantive experience and/or education, is generally credentialed and has proven ability in a particular field or fields. The HQEs contribute in a variety of occupational fields, such as soft and hard sciences, engineering, technology, human resources, business transformation, education, medicine, languages and logistics. An HQE may be hired to mentor, lead, oversee, direct, manage and/or consult on DoD programs and initiatives, including high-profile and fast track assignments.

b. **Senior Mentor:** A retired flag, general or other military officer or retired senior civilian official who provides expert experience-based mentoring, teaching, training, advice and recommendations to senior military officers, staffs and students as they participate in war games, warfighting courses, operational planning, operational exercises and decisionmaking exercises.

c. **Outside Appointment:** An appointment from outside the civil service and the uniformed services. A minimum 30-day break in service is required for potential appointees who are currently employed in the civil service or military service. Military members on terminal leave are considered to be currently employed and may not be appointed until at least 30 days following the end of the terminal leave. If the candidate does not have intervening non-Federal employment following his/her civil or uniformed Federal service, DoD approval of the appointment is required.

4. Procedures for All HQEs and HQE-SMs

a. A request to appoint an HQE must be submitted by memorandum, signed by a member of the Senior Executive Service or a general officer in the requesting organization, and submitted through and favorably endorsed by the chain of command or chain of supervision to the Assistant Secretary of the Army (Manpower and Reserve Affairs) (SAMR-SES), 111 Army Pentagon, Room 1D755, Washington, DC 20310-0111. (See HQE Appointment Package Checklist at enclosure 1.)

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(2) the HQE's position description is up-to-date and accurately captures the HQE's duties; and

(3) an emergent or short-term need continues to exist for the specific problem to be solved or specific function to be performed by the HQE, stating the length of time the HQE's services will continue to be required. Alternatively, if it appears the work the HQE will perform will be an ongoing requirement, the official shall indicate his/her future plan for the position and/or its functions, such as submitting a concept plan seeking to establish a permanent authorization in the table of distribution and allowances, reallocating the work to other employees or contracting out the work. In addition, the future plan should indicate the timeline for accomplishing the previous task(s) and the termination of the HQE.

h. Organizations and commands shall establish a performance plan for all HQEs in accordance with enclosures 3a and 3b. The organization is responsible for providing a copy of the performance plan to CSLMO as part of the request to establish an HQE position and to implement the plan after the HQE is appointed. Thereafter the HQE performance plan should be maintained and updated, as necessary and appropriate. Material changes to a performance plan require the Secretary of the Army's approval.

(1) The standard appraisal period for HQEs is 1 October through 30 September. The minimum appraisal period will be not less than 90 calendar days. For those HQEs appointed for less than a year, the minimum appraisal period does not apply, and the appraisal period is the date of appointment to the date of separation.

(2) Performance requirements must be developed in consultation with the HQE.

(3) During the appraisal period supervisors shall monitor each HQE's performance and provide feedback on the HQE's progress in accomplishing the performance elements and requirements described in the performance plan. Supervisors also shall provide ongoing performance feedback as necessary to acknowledge, anticipate and remedy performance deficiencies.

(4) If an HQE's performance or conduct does not meet expectations or is not at the "In Good Standing" level, the HQE's employment must be terminated. However, before initiating an HQE termination request, commands and organizations must contact and coordinate with CSLMO's Chief, Policy, Performance Management, and Strategic Communications Division at (703) 693-1120.

i. Organizations and commands shall not materially alter an HQE's position description or performance plan or move an HQE to another position or organization without submitting a request to CLSMO under the procedures set forth in paragraph 4b.

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j. The Secretary of the Army may grant HQEs who are performing at the "In Good Standing" level some or all of the President's Annual Executive Pay increase. If an HQE has met the criteria in his/her performance plan for extraordinary results, the Secretary may authorize a pay increase based on those extraordinary results.

k. HQEs are not eligible for any type of premium pay, such as overtime or compensatory time, nor are they eligible for additional payments under Title 5, Chapter 59, such as danger pay, post differential and living quarters allowances. The Secretary of the Army may award bonuses to HQEs at his discretion in accordance with reference 1a.

l. HQEs other than HQE-SMs shall file an OGE Form 450 (Confidential Financial Disclosure Report) within 30 days of their appointment and annually thereafter.

5. Special Procedures for HQE-SMs

a. All Army senior mentors will be hired as HQEs.

(1) Given the noncompetitive nature of HQE-SM appointments, it is the Army's intent to avoid any appearance of favoritism. Therefore, request packages must include acknowledgments by the requesting official and all officials in the chain of command or supervision detailing each official's prior associations with the individual nominee, including identifying each and every period the official worked with, worked for or was under the command or supervision of the senior mentor.

(2) HQE-SMs are hired on the basis of their Federal experience (military or civilian). Therefore it is not necessary to include in their hiring packets the compelling justification otherwise required when an HQE's expertise is obtained through Federal service.

(3) HQE-SMs will generally be hired as intermittent employees because of the irregularity of exercise or war game schedules in relation to pay windows. However, an HQE-SM should be reclassified to part-time or full-time if his/her work schedule becomes more consistent and predictable.

b. In general, given the nature of their work and the short-term basis of their employment, HQE-SMs are not eligible for pay increases based on achieving extraordinary results.

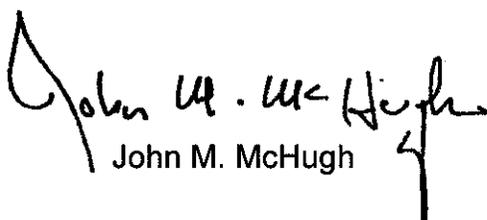
c. Organizations will program and budget for HQE-SM requirements regardless of table of distribution and allowances authorizations. HQE-SM support to enduring programs, such as the Battle Command Training Program, must not be an

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unprogrammed year of execution bill. Funding will be from within the hiring organization.

d. HQE-SMs shall file an SF 278 (Public Financial Disclosure Report) within 30 days of their appointment and annually thereafter. The SF 278 will be filed with the servicing command and reviewed by ethics counselors in the servicing legal office.

6. Questions regarding the processes and procedures should be directed to the CSLMO Operations Division at (703) 693-1120.



John M. McHugh

Encls

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Executive Director, Army National Cemeteries Program**

Department of the Army

Highly Qualified Expert (HQE) Appointment Package Checklist

Check block	Required items
	<p>1. A memorandum to the Civilian Senior Leader Management Office (CSLMO) requesting establishment of an HQE position signed by a member of the Senior Executive Service or a general officer in the requesting organization and submitted through and favorably endorsed by the chain of command or chain of supervision. This memorandum will address the following items:</p>
	<p>a. Identification of the emergent or short-term need associated with the specific problem to be solved or specific function to be performed by the HQE.</p>
	<p>b. Justification that the organization's or command's hiring of an HQE is justified by mission and workload. (For assistance in evaluating mission and workload requirements, contact the Office of the Deputy Assistant Secretary of the Army for Force Management, Manpower and Resources or the U.S. Army Manpower Analysis Agency.)</p>
	<p>c. The outcomes that will indicate the HQE has achieved the emergent, short-term requirement for which the HQE is needed and the length of time estimated to achieve these outcomes.</p>
	<p>d. Proposed initial basic pay and the factors used to recommend this pay, including the HQE's current salary or pay rate. The pay must be broken out between base pay and locality pay (if locality pay is applicable). If a pay increase is proposed, a compelling justification must be included. If the organization recommends a recruitment or relocation incentive, a compelling basis for the recommendation must be included.</p>
	<p>e. Whether the HQE will work a full-time, part-time or intermittent schedule. For less than full-year employment, indicate the proposed number of days a year the HQE is to work.</p>
	<p>f. Length of the proposed appointment.</p>
	<p>2. For HQE-Senior Mentors (SMs), acknowledgements by the requesting official and all officials in the approval chain detailing these officials' prior associations with the individual nominee, including identifying each and every period the official worked with, worked for or was under the command of the senior mentor.</p>
	<p>3. A draft position description that is sufficiently specific to allow CSLMO to validate that the duties of the position meet the statutory and regulatory requirements for HQEs.</p>
	<p>4. An organization chart depicting where the HQE will fit into the organization.</p>

Check block	Required items
	5. The resume of the proposed appointee, if one has been identified, and a certification statement that the candidate meets the qualifications established by the HQE position description. If the candidate's current employment is not identified in such a manner to allow CSLMO to verify that the candidate is not currently in the Federal service, additional documentation reflecting employment must be provided.
	6. A Performance Plan. See enclosure 2b.
	7. Certification statement that funds are available for the current fiscal year and that the organization/command has a plan for resourcing the position for the ensuing years (source of funds must be included). The certification must include a statement that the availability of funds has been validated by the appropriate fund manager.
	8. A completed Worksheet to Determine Potential Conflicts of Interest completed by the proposed appointee, if one has been identified. All questions must be answered—it is insufficient for the proposed appointee to omit information from the worksheet on the grounds that he/she will subsequently file an OGE Form 450 or SF 278.
	9. If the proposed appointee would be appointed following Federal employment (civilian or military) and has not had intervening non-Federal employment, a statement supporting the exceptionally compelling circumstances justifying the appointment (not required for HQE-SMs).

Sample Certification Revalidating Need for HQE

I certify the following for the HQE position of _____ [Name of HQE], located in _____ [Name of Organization].

1. Funds are available for the current fiscal year for the position and the [name of organization/command] has a plan for resourcing the position for the ensuing years.
2. I have reviewed the HQE's position description and it remains accurate.
3. Subject to the funding limitation in paragraph 1, I certify that either:

_____ A short-term need continues to exist for **[describe specific problem to be solved or specific function the HQE performs]**. The HQE has been in place for ____ year(s). The following outcomes will indicate that the HQE has achieved the short-term requirement for which the HQE is needed: **[describe outcomes]**. The length of time estimated to achieve these outcomes is _____.

_____ Although the need for the HQE appeared to be short-term when the HQE was hired, it now appears that the work performed by the HQE will be an ongoing requirement. The following is my future plan for the position and/or its functions **[describe the plan, such as submitting a concept plan seeking to establish a permanent authorization in the table of distribution and allowances, reallocating the work to other employees or contracting out the work. In addition, the future plan should indicate the timeline for accomplishing the previous task(s) and the eventual termination of the HQE]**:

(The memorandum must be signed by a member of the Senior Executive Service or a general officer.)

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**Highly Qualified Expert (HQE) Appointment — Specific Performance Plan
Instructions**

Part A - Preappointment Information (page 1)

1. Enter the title of the position to be established.
2. Enter the complete title of the organization.
3. Enter the name and title of the supervisor.

Part B - Validation of Performance Plan After HQE Appointment (contains five sections). Section I (page 1)

1. Enter name of appointee.
2. Enter date of appointment.
3. Enter date appointment expires.
4. Enter date rating period begins (do not enter a date before the HQE's effective date of appointment).
5. Enter date rating period ends. The standard appraisal period for HQEs is 1 October through 30 September. The minimum appraisal period will be not less than 90 calendar days. For those HQEs appointed for less than a year, the minimum appraisal period does not apply; the appraisal period is the date of appointment to the date of separation.

Part B - Signatures. Section II (page 1)

HQE and supervisor sign and date.

Part B - Performance Element and Performance Requirement. Section III (page 2)

Fill in the performance factor(s) and performance requirements in the space provided.

“Mission Accomplishment” is the only mandatory performance factor for HQEs. Mission Accomplishment is defined as: “Executes the position’s assigned duties in a manner that contributes to the successful outcome of strategic goals and objectives. Ensures that accomplishments of the organization or program managed can be directly tied to mission need. Specify the results or commitments achieved during the rating period.”

There must be at least one, but not more than four, performance requirements that are aligned to the organization’s goals. All performance requirements must be

results-driven, written at the “In Good Standing” level in the SMART-Q format, and specify measurable results and outcomes. Performance requirements describe “what is expected” and “how it is to be accomplished.”

“In Good Standing” is the only level established for HQE performance evaluation. HQEs who are not performing at this level must be separated. “In Good Standing” results are characterized as:

- Uncommon, proficient, exceptional, outstanding.
- Demonstrative of efficiencies and cost savings.

SMART-Q is a framework for developing measurable results-driven performance requirements. The acronym stands for:

- Specific** – define results to be accomplished within the scope of the job.
- Measurable** – define quality, quantity and/or effectiveness.
- Aligned** – support specific strategic goals.
- Timely** – define a deadline/timeframe for achieving the requirements.
- Quality** – identify the degree of excellence expected.

Part B - Extraordinary Results. Section IV (page 3)

This optional section sets forth the criteria pursuant to which HQEs may receive a potential pay increase based on achieving extraordinary results. Generally, HQE-subject matter experts are not eligible for pay increases based on achieving extraordinary results. Pay increases above the President’s Adjustment to Executive Pay rest solely within the Secretary of the Army’s discretion and are reserved for HQEs who deliver extraordinary results. Extraordinary results are a high bar standard and characterized as:

1. significantly advanced the Department’s mission or program objectives (e.g., game changing); and
2. demonstrative of significant efficiencies and/or cost savings.

Part B - Rater Evaluation of HQE Accomplishments. Section V (page 4)

Supervisors document the HQE’s rating period accomplishments.

Part C - Feedback Discussion. (page 1)

Supervisor and HQE sign and date the blocks, indicating that at least one performance feedback discussion occurred.

Part D - Performance Certification. (page 1)

Supervisor checks box, signs, dates and returns the performance plan to the Civilian Senior Leader Management Office not later than the first workday in December. This certification allows the HQE to be considered for a pay increase up to the amount of the President's Adjustment to Executive Pay in January of the following year.

Part E - Performance Certification of Extraordinary Results. (page 1)

If the HQE has achieved extraordinary results, the supervisor checks the box, signs, dates and includes a detailed justification supporting a finding that the HQE achieved extraordinary results.

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Highly Qualified Expert Appointment — Specific Performance Plan**

PART A. Pre-Appointment Information. (Also complete Part B, Sections III and IV on pp. 2 and 3.)

1. HQE Position Title: _____
2. Organization: _____
3. Name and Title of Supervisor: _____

PART B. Section I – Validation of Performance Plan After HQE Appointment

1. Name of HQE (Last, First, MI): _____
2. Date of Appointment: _____ 3. Date Appointment Expires: _____
4. Date Rating Period Begins:* _____ 5. Date Rating Period Ends:* _____

* Do not complete 4 and 5 until after effective date of appointment.

PART B. Section II – Signatures

The signatures acknowledge joint development and understanding of the Performance Factor(s) and Performance Requirements entered in Part B, Section III (page 2).

Signatures/Dates of Signatures

HQE Signature/Date

Supervisor Signature/Date

PART C. Feedback Discussion

HQE Signature/Date

Supervisor Signature/Date

PART D. Performance Certification

I certify that the HQE identified in Part B, Section I has achieved "In Good Standing" results in all performance elements established in Part B, Section III of this performance plan.

Check Box and Sign Below

Supervisor's Signature

_____ Date

PART E. Performance Certification of Extraordinary Results

I certify that the HQE identified in Part B, Section I has achieved "Extraordinary Results" in all performance elements established in Part B, Section IV of this performance plan.

Check box, sign below and attach detailed justification

Supervisor's Signature

_____ Date

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Part B, Section III - Performance Elements and Performance Requirements

Mandatory Performance Element:

Contribution to Mission Accomplishment (must consist of at least one but generally not more than four requirements).

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Part B, Section IV - Extraordinary Results (Optional) (Specify the basis for Extraordinary Results that may provide the basis for pay increases above the President's Adjustment to Executive Pay.)

Insert text

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Part B. Section V - Rater Evaluation of HQE Accomplishments

Insert text