Performance Management

DoD Performance Management and Appraisal Program (DPMAP)

Mr. Randy Hendryx
602-629-4815
Who can be a supervisor?

**Full time** employee’s in a supervisory position

Technician’s either Title 32 or Title 5

**AGR’s (Title 32)**

**Federal Active Duty Personnel (Title 10)**

**Certain State Employee’s**
Who receives an appraisal?

Permanent Employees - Tenure 1

Indefinite Employees – Tenure 3

Conditional Employees – Tenure 2
(AFTER the 1 year probation/trial period)
Conditional Employees
(Trial-Period Employees)

• Performance & conduct are monitored to determine suitability for continued technician service

• After the trial period (1 year probation) an appraisal will be initiated in DPMAP for the next appraisal cycle.

• During the trial period, the technician’s appointment can be terminated at any time – record and maintain documentation of employee conduct!
Conditional Employees
(Trial-Period Employees)

• RETAIN - The technician’s work performance must minimally rate at the Fully Successful, a Level 3 rating

• NOT TO RETAIN - Supporting documentation will be forwarded to the HRO who will advise supervisors and managers on appropriate action(s) to remove the technician from Federal service

  • The trial-period appraisal is NOT covered by 5 CFR 432 or TPR 752 (Discipline and adverse actions)--accordingly, there are no appeal rights
Who DOES NOT receive an appraisal?

Temporary Employees – Tenure 0
• Yearly Appraisal cycle
  • Start date - April 1<sup>st</sup>
  • End date - March 31<sup>st</sup>
  • Effective date - June 1<sup>st</sup>

• Employee’s must be supervised (on an approved plan) at least 90 days within the April to March cycle in order to receive an appraisal
Three formal documented discussions are required in DPMAP (DoDI and CNGBI - 1400.25 v431)

• Performance Plan

• Progress Review

• Final Appraisal
• DPMAP is a 3-tiered rating system

  • Level 5 – Outstanding
  • Level 3 - Fully Successful
  • Level 1 – Unacceptable

• All Performance Elements are critical and will not be weighted.
DPMAP uses a summary rating and a rating of record

- **Summary rating** – the sum total of all performance elements divided by the number of elements

- **Rating of record** – over all rating of the appraisal using the chart below

<table>
<thead>
<tr>
<th>Summary Rating</th>
<th>Rating of Record</th>
<th>Appraisal Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.3 – 5.0</td>
<td>5</td>
<td>Outstanding</td>
</tr>
<tr>
<td>3.0 – 4.2</td>
<td>3</td>
<td>Fully Successful</td>
</tr>
<tr>
<td>2.9 or lower</td>
<td>1</td>
<td>Unacceptable</td>
</tr>
</tbody>
</table>
### PART E - PERFORMANCE RATING SUMMARY

(Completed by Rating Official/Supervisor - copy Part D blocks 2, 3, and 8.)

<table>
<thead>
<tr>
<th>a. ELEMENT NUMBER</th>
<th>b. ELEMENT TITLE</th>
<th>c. ELEMENT RATING (5, 3, or 1) (X box if Not Rated)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Widget Distribution Operations</td>
<td>3 - Fully Successful</td>
</tr>
<tr>
<td>2</td>
<td>Widget Storage Operations</td>
<td>3 - Fully Successful</td>
</tr>
<tr>
<td>3</td>
<td>Widget Quality Control Testing/Analysis</td>
<td>5 - Outstanding</td>
</tr>
<tr>
<td>4</td>
<td>DLA Accounting and FISC</td>
<td>3 - Fully Successful</td>
</tr>
<tr>
<td>5</td>
<td>Additional Duties</td>
<td>3 - Fully Successful</td>
</tr>
</tbody>
</table>

**SUMMARY RATING:** Obtain by adding the values in the Performance Element Rating column and dividing by the number of rated elements (round to the nearest tenth). Enter result in block A1.

**SUMMARY LEVEL CHART**

<table>
<thead>
<tr>
<th>Range</th>
<th>Summary Level</th>
<th>Rating of Record</th>
<th>Summary Level Rating Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.3 - 5.0</td>
<td>Outstanding</td>
<td>5</td>
<td>The summary rating of all element ratings of 4.3 or greater results in a rating of record of &quot;5&quot; - Outstanding, with no element rated &quot;1&quot; - Unacceptable.</td>
</tr>
<tr>
<td>3.0 - 4.2</td>
<td>Fully Successful</td>
<td>3</td>
<td>The summary rating of all element ratings of between 4.2 and 3.0 results in a rating of record of &quot;3&quot; - Fully Successful, with no element rated &quot;1&quot; - Unacceptable.</td>
</tr>
<tr>
<td>2.9 or lower</td>
<td>Unacceptable</td>
<td>1</td>
<td>Any element rated as &quot;1&quot; - Unacceptable.</td>
</tr>
</tbody>
</table>

When a rating on any element is "1" - Unacceptable, the overall Rating of Record shall be "1" - Unacceptable, regardless of the Summary Rating.
• Performance Elements
  • Minimum of 3
  • Maximum of 10

• Performance Narratives. Supervisors will write a performance narrative that addresses the employee’s performance measured against the performance standards for the appraisal cycle.

• Performance narratives are mandatory for each element rated “Outstanding” (Level 5) and “Unacceptable” (Level 1). Performance narratives are optional but highly encouraged for each element rated “Fully Successful” (Level 3)

• Performance Narrative Statements are required when a supervisor changes for an employee who has performed under an approved performance plan for 90 calendar days (Closeout assessment).
• Performance elements and standards for supervisors must be equal to or greater than the technical elements and standards

NEW—Mandatory Element for Supervisors

• Supervisors must have the following element on whistleblower protection

It must be copied verbatim

Supports the Whistleblower Protection Program by responding constructively to employees who make protected disclosures under 5 U.S.C. 2302(b)(8); taking responsible and appropriate actions to resolve any such disclosures; and creating an environment in which employees feel comfortable making such disclosures.
• DoD core values will be annotated on **ALL** performance plans.
  • Leadership
  • Professionalism
  • Technical knowledge through dedication to duty,
  • Integrity
  • Ethics
  • Honor
  • Courage
  • Loyalty

• Organizational values can be incorporated to include organizational mission statements or goals which apply to the employee’s performance elements

• Performance plans must be Approved within 30 Days of the start date of the rating period

<table>
<thead>
<tr>
<th>Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Drafted</td>
</tr>
<tr>
<td>Reviewed by Higher Level Reviewer</td>
</tr>
<tr>
<td>Approved</td>
</tr>
<tr>
<td>Communicated to Employee by Rating Official</td>
</tr>
<tr>
<td>Acknowledged by Employee</td>
</tr>
</tbody>
</table>
Performance management process:

- **Planning** work and setting expectations
  (Writing the elements and plan)

- **Monitoring** performance
  (Providing feedback/discussions in DPMAP)

- **Evaluating** performance in a summary fashion
  (End of cycle evaluation/appraisal)

- **Recognizing and rewarding** good performance
  (SSP’s, Time off awards, letter of recognition)
Planning Process

• Analyze the position

• Assess what the key KSAs are

• Review/update the job standards

• Review/ensure accuracy of the position description

• Identify the job elements
Performance elements describe what work is to be accomplished

Minimum of 3 or a maximum of 10 performance elements allowed

Each element must have associated standards that define expectations

The number of supervisory performance elements will equal or exceed the number of non-supervisory (technical) performance elements

An organization *may* have standardized performance elements

DoD Instruction 1400.25, Vol. 431
Performance Standards

Standards describe how the requirements and expectations provided in the performance elements are to be evaluated

Should be written using SMART criteria

Must be written at “Fully Successful” level for each performance element

Avoid using absolute standards (e.g., 100 percent, always, or never) unless critical to life and safety

DoD Instruction 1400.25, Vol. 431 18
Performance Standards

Are the standards fair?

Are they comparable to expectations for other employees in similar positions?
  – Applying different standards to employees doing the same work does not appear on its face to be fair or valid
  – Requiring higher-level management review of standards for similar work across an organization may be one way of ensuring equity

Do the standards allow for some margin of error?
  – Requiring perfection is not fair in most instances
SMART Criteria

- **S** Specific
- **M** Measurable
- **A** Achievable
- **R** Relevant
- **T** Timely
2. Provide accurate, timely customer service
Upon receipt of requests, provide accurate responses in the agreed-upon timeframes, as defined by ICD 24.8, using the appropriate format identified in SOP25 during the performance appraisal cycle ending March 31, 2017. This supports the organization’s commitment to be responsive to customers and clients. Meet suspenses 90% of the time. Provide accurate responses with no more than 2 errors per request.
Monitoring Performance

- Two-Way Communication
- Emphasize Organizational Goals
- Frequent Performance Discussions
- Focus on Performance
- Timely Recognition and Rewards
- Early Detection of Performance Issues
Supervisors

✓ Continuously communicate; provide encouragement, meaningful feedback, and recognize accomplishments

✓ Provide employees an opportunity to highlight their successes relative to the performance elements and standards

✓ Identify needed changes to performance elements as appropriate

✓ Review IDPs to identify development opportunities

✓ Identify employee’s skills and abilities, and look for opportunities to further development

✓ Document performance discussions

✓ Recognize and reward performance throughout the performance appraisal cycle
First step in addressing performance issues

Informal feedback may take several forms

Steps for effective informal feedback are:

- State what has been observed using facts, not emotions
- Describe how the performance fails to meet standards
- Wait for a response (let them talk)
- Ask for a solution; give suggestions if needed
- Agree on a solution together
- Set a follow-up date and time

Make sure you document everything!
Avoiding Year-End Surprises

Continuous performance discussions help ensure clear understanding of outcomes at the final performance appraisal discussion.

The overall goal is mutual understanding between employee and supervisor helps eliminate surprises at the final performance appraisal discussion.
Evaluating Performance

A written rating of record must be provided at the end of the appraisal cycle for each employee who has been under an approved performance plan for 90 calendar days during the cycle.
Evaluating Performance

Performance Narratives

Descriptive statement of the employee’s performance measured against the performance standards for the appraisal cycle
Evaluating Performance

Performance Narratives

- Justify how an employee’s ratings are determined
- Are required for each element rated “Outstanding” and “Unacceptable”
- Are highly encouraged for each element rated “Fully Successful” as a means of recognizing all levels of accomplishments and contributions to mission success
Level 5 - Outstanding
• Produces exceptional results or exceeds expectations well beyond specified outcomes
• Sets targeted metrics high and far exceeds them (e.g., quality, budget, quantity)
• Handles roadblocks or issues exceptionally well and makes a long-term difference in doing so
• Is widely seen as an expert, valued role model, or mentor for this work
• Exhibits the highest standards of professionalism

Level 3 – Fully Successful
• Effectively produces the specified outcomes, and sometimes exceeds them
• Consistently achieves targeted metrics
• Proactively informs supervisor of potential issues or roadblocks and offers suggestions to address or prevent them
• Achieves goals with appropriate level of supervision

Level 1 - Unacceptable
• Does not meet expectations for quality of work; fails to meet many of the required results for the goal
• Is unreliable; makes poor decisions; misses targeted metrics (e.g., commitments, deadlines, quality)
• Lacks or fails to use skills required for the job
• Requires much more supervision than expected for an employee at this level
Mandatory Action Situations

1) Appraisals of less than “Fully Acceptable” requires immediate remedial action to allow improvement, including:

- Establishment of a written Performance Improvement Plan (PIP)

- An offer to participate in the Employee Assistance Program (EAP), as needed
1) Continued

• Description of potential actions resulting from continued “unacceptable” performance

• Statement of Notice that performance is at best “Marginally Acceptable”, for pay purposes

• Withholding of Within-Grade increase for which otherwise eligible
2) If performance improves to “Fully Acceptable”, a new appraisal may be given

• An acceptable performance rating requires granting a Within-Grade Increase previously withheld
3) A continuing “Unacceptable” rating requires the technician be

- Removed from employment in that position
- Reduced in grade (in that position) to a level at which qualified & capable of acceptable performance, OR
- Reassigned to another position for which qualified & capable of acceptable performance
Appraisal Appeals

A Technician may appeal any performance appraisal or notice of rating or any single aspect of an appraisal/rating.

Timeframes for filing appeals:

- Other than unacceptable ratings – within 30 calendar days of receiving the original copy of the appraisal
- Based on Unacceptable ratings – within 15 calendar days of receipt of written notice or original copy of appraisal
Appraisal Appeals

The Performance Appraisal Review and Appeals Board:

- Established by the state Adjutant General
- Consists of members of equal or higher grade than appellant
- Cannot be in the appellant’s chain of command
Appraisal Appeals

The Performance Appraisal Review and Appeals Board:

- Concerned only with the appeal--NOT the personnel action taken as a result of an unacceptable appraisal

- Submits decision within 15 calendar days
Appraisal Appeals

- The appellant is entitled to representation
- There are no appeal rights for this purpose beyond the Adjutant General
- Labor Relations Specialist – Mr. Tinashe Machona
References

- 5 CFR 430 (Performance Management)
- 5 USC 4301-4305 (Performance Appraisal)
- DoDI 1400.25 Vol 431 (DoD Civilian Personnel Management System: Performance Management and Appraisal Program)
- CNGBI 1400.25 Vol 431 (NG Technician Performance Appraisal Program)
- TPR 752 (Adverse and Disciplinary Actions)
In Internet Explorer navigate to https://compo.dcpds.cpms.osd.mil. Click on Smart Card Log In. Then select the Email certificate...

...and accept the Privacy Act Statement.
To create or modify employee Performance Plans select “Performance Management and Appraisals” under Manager Functions.
The MyPerformance Main Page displays current active performance plans. This list is not from the hierarchy. Only people in the rating chain have access to employee performance plans.
Select DoD Performance Management and Appraisal Program and click “GO”
This page lists the employees linked to the supervisor in the Organizational Hierarchy. Click on “Create” for the selected employee. Supervisors can only create performance plans for employees in their hierarchy. Contact HRO for employees not in your hierarchy.
The Supervisory Commitment Statement must be acknowledged each time a supervisor goes into an employee’s performance plan.

This applies to AGR supervisors as well as Technician supervisors.
Table 1 – Create Performance Plan page - Setup Details fields and descriptions

Description of the fields in the Plan Setup Details. The Rating Official Guide uses tables like this to identify the data in each field.

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appraisal Type</td>
<td>The Annual Appraisal – DoD option appears by default.</td>
</tr>
<tr>
<td>Appraisal Period Start Date</td>
<td>The cycle start date defaults to 01-Apr-YYYY</td>
</tr>
<tr>
<td>Appraisal Period End Date</td>
<td>The cycle end date defaults to 31-Mar-YYYY</td>
</tr>
<tr>
<td>Appraisal Effective Date</td>
<td>The appraisal effective date defaults to 01-Jun-YYYY</td>
</tr>
<tr>
<td>Rating Official</td>
<td>This field is auto-populated based on information stored in the hierarchy</td>
</tr>
<tr>
<td>Higher Level Reviewer Name</td>
<td>This field is auto-populated based on information stored in the hierarchy, but can be changed as necessary</td>
</tr>
</tbody>
</table>
The Plan Details page default to Annual Appraisal-DoD type. MyPerformance default to the standard appraisal period dates.

The Rating Official and HLR are drawn from the hierarchy. Contact HRO if the wrong names are there or are blank.

Click “Build New Plan”
Plan shell has been established.

User can navigate using the tabs which are now available or click “Save and Continue” to go to the next page.
Next step is to enter Mission Goals. Note the reminder to discuss the DoD Core Values when your employee reviews their performance plan. DoD Core Values MUST be incorporated into the Mission Goal. Click Save and Continue.
Next step is to enter properly formatted Performance Elements. Minimum of 1 Performance Element is required but no more than 10 maximum. Weighting is not used in this program and all Performance Elements are Critical.
All fields with an asterisk are required.

Enter the title of the Performance Element, Performance Element Start date defaults to the start of the appraisal period. This can be adjusted if necessary but must be within the appraisal period.
Click “Save and Add Another Performance Element” until all Elements are added.

Click “Go Back to Performance Elements” page when done.
You can review, update or delete Performance Elements from this page.
When all elements are added click: Step 4: Approvals and Acknowledgments tab or click another option.
The performance plan can be transferred to the employee for review and input but if the employee has already provided input go to Approvals and Acknowledgements tab to transfer to HLR.
Click Step 1: “Start” to begin the Approvals and Acknowledgments process.
Select Option A to transfer the performance plan to the HLR. The HLR will “Approve” or “Return the Plan for Change” then back to the rater for final approval.
Use Option B if the Rating Official and the HLR are the same or if the HLR is not available. This option will capture the HLR signature but not transfer the plan.
Fill in the required information for either option, click Transfer with Email Notification or Save

Option A - Transfer to the Higher Level Reviewer

Option B - Document the higher level review has taken place by entering the following information
Confirmation

I certify that the information in this performance plan accurately documents the Rating Official’s decisions and the Higher Level Reviewer’s approval.

Once you have selected the desired option, Click Yes to Confirm approval.
The next step for Approvals and Acknowledgments is Step 3: Document Communication to Employee
Start Step 3, fill in the Communication Date and Method of Communication. If Other method is selected you must enter something in the Other field.
There MUST be employee acknowledgement of the performance plan. Save and Transfer to Employee for Acknowledgment or Save and Go to Step 4 if the employee is unavailable or unable or unwilling to sign.
If Step 4 is chosen then confirm that this is what you want to do
Starting Step 4
Note the addition of another row of tabs
The performance plan is Approved but is not valid until the employee acknowledges the plan and performance standards.
Click the start button
Enter the acknowledgment, if Other is selected then the Other block must have value. Click Save
Performance Plan is now completed and Approved. The Approvals and Acknowledgement process is REQUIRED for all events in DPMAP. The Annual Appraisal will not process through the system unless ALL steps are completed. Select Save and Go Back to review or Return to Main Page and click Go.
From the Action Menu on the My Performance Main Page options are;
- Update a performance plan
- Transfer to Employee
- Change RO and/or HLR
- View or Print DD FORM 2904, DoD Performance Plan and Appraisal

Selecting “Close” will close the performance plan and make it unavailable

Select Track Progress to review the events of the performance cycle.
Track Progress

Employee Information

Employee Name: WING, ROBIN MARIE

This screen provides information regarding the status of the performance plan/appraisal throughout the performance cycle.

- Review the performance plan/appraisal status and select the Go Back button at the top right corner when finished.
- A Print button is located at the top right corner, if you would like to print Track Progress.

For additional guidance, select Need Help?

<table>
<thead>
<tr>
<th>Plan</th>
<th>Date</th>
<th>User</th>
</tr>
</thead>
<tbody>
<tr>
<td>Drafted</td>
<td>02-Mar-2017</td>
<td>Stout, Tracy Ann</td>
</tr>
<tr>
<td>Reviewed by Higher Level Reviewer</td>
<td>02-Mar-2017</td>
<td>Stout, Tracy Ann</td>
</tr>
<tr>
<td>Approved</td>
<td>02-Mar-2017</td>
<td>Stout, Tracy Ann</td>
</tr>
<tr>
<td>Communicated to Employee by Rating Official</td>
<td>02-Mar-2017</td>
<td>Stout, Tracy Ann</td>
</tr>
<tr>
<td>Acknowledged by Employee</td>
<td>02-Mar-2017</td>
<td>Stout, Tracy Ann</td>
</tr>
</tbody>
</table>

Progress Review

- Employee Input
- Rating Official - Assessment
- Reviewed by Higher Level Reviewer - If Required
- Communicated to Employee by Rating Official
- Acknowledged by Employee

Appraisal

- Employee Input
- Rating Official - Assessment
- Higher Level Reviewer Approved
- Communicated to Employee by Rating Official
Progress Reviews

Progress Review is located on the first row of tabs in the employee's performance plan.

One documented Progress Review must be accomplished for each employee usually halfway through performance cycle.
Progress Reviews

Click on Create Progress Review
Progress Reviews

The Progress Review screen has 2 tabs:
One for the assessment and another for approvals and acknowledgments.
Progress Reviews

Once the employee and the rating official have entered their input, complete the steps on the Approvals and Acknowledgements tab.

Employees must be offered the opportunity to provide input here

Rating official assessment goes here
Annual Appraisals

The Annual Appraisal is completed at the end of the appraisal period.

Annual Appraisal is located on the first row of tabs in the employee’s performance plan.
Annual Appraisals

Three tabs on the Annual Appraisal screen allow you to navigate to Assessments and Ratings, Rating of Record, and Approvals and Acknowledgments.
Annual Appraisals

After employee and Rater inputs have been entered the Rating of Record can be entered at the bottom of the assessment screen. Select Go to Next Performance Element until all elements have been assessed and rated. Then complete the Approvals and Acknowledgments.
Performance Narrative Statements

• Performance Narrative Statements are required whenever there is a change to the employee’s supervisor. This can result from a position change for the employee or a re-assignment of a supervisor.

• A Performance Narrative Statement is a non-rated assessment of an employee’s performance based on their established performance standards. This assessment becomes part of the performance plan and is available for the new supervisors consideration.

• The outgoing supervisor is responsible to complete the Performance Narrative Statement then changes the Rating Official and/or HLR to the employees new rating official. This essentially transfers the plan to the new rater. Do NOT create a new plan for a change in supervisors or job.

• The new rating official must review the performance plan, edit the performance elements for the employees new job and re-approve the performance plan.

• Performance Narrative Statements were formerly called Closeout Assessments.
Performance Narrative Statements is located on the first row of tabs in the employee’s performance plan.

Narrative Statements are written the same way Progress Reviews are except a Narrative Statement identifies a change in rating official.
Click View/Print Form to review DD Form 2906-DoD Civilian Performance Plan, Progress Review and Appraisal

Then click View/Print Form to open the PDF
Guest Participants can be added to provide input to an employees performance plan and assessments. This is useful if you have an employee on another detail.
Questions?