

Subject: Defense Performance Management and Appraisal Program (DPMAP) Instructions for Fiscal Year 2018

This Attachment provides detailed guidance related to performance management and appraisal of Defense Health Agency (DHA) civilian employees. Pursuant to DoD Instruction 1400.25-M, Volume 451, where this Attachment conflicts with an existing Collective Bargaining Agreement (CBA), the provisions of the CBA supersede this Attachment, and the CBA will govern.

It is DHA's policy, pursuant to DoD Instruction 1400.25-M, Volume 431, DoD Instruction 1400.25-M, Volume 451, and the DHA Strategy Map, that performance management will be used to improve individual and organizational performance. The DHA will provide a fair, credible, and transparent performance appraisal program for linking performance awards and other performance-based actions to employee performance. The DHA will develop and maintain a results-oriented performance culture that links individual performance to the organizational goals. All procedures will be executed in accordance with DoD Instruction 1400.25-M, Volume 431.

Performance plans will be the basis for performance appraisals, and performance appraisals will be the basis for personnel decisions. Employee performance plans must be aligned to DHA's mission statement and the DHA Strategy Map objectives, initiatives, and programs. Focus will be placed on results rather than the work processes employed to produce the results. Plans will be recorded in the MyPerformance appraisal tool, be reviewed periodically by the supervisor and the employee, and be updated as necessary. If a supervisor or employee does not have access to the MyPerformance appraisal tool, they must use the PDF fillable DD Form 2906 (<https://info.health.mil/cos/admin/hr/SiteAssets/DPMAP/dd2906.pdf>) to document the performance plan, progress review(s), and rating of record.

Performance plans will include elements and standards, as well as job and organization-specific measures or other elements and standards that describe performance expectations for the position that meet legal and managerial requirements.

Supervisors must have individual conversations with each of his or her employees, during which the employee's approved performance plan is conveyed, and it is explained how performance expectations link to organizational goals. The date of the conversation will be documented in the MyPerformance appraisal tool or on the DD Form 2906 and acknowledged by the employee. Disagreement over the content of the plan should be resolved by the supervisors and employee, if possible. Any disagreements between the Rating Official and the Higher Level Reviewer (HLR) on the establishment of employee performance plans will be arbitrated one level higher than the HLR, not further than the Director, DHA, who will have final authority of determination.

Regarding performance elements, refer to DoD Instruction 1400.25-M, Volume 431. Failure to meet the standards for a single critical element results in an overall "Unacceptable" performance. "Unacceptable" performance requires initiation of action to assist the employee in improving his or her performance to the "Fully Successful" level. The number of

supervisory performance elements for supervisors will equal or exceed the number of non-supervisory (technical) elements.

Performance standards must be reasonable and attainable; be set at a level high enough to meet the needs of the position and to motivate the employee toward excellence; and leave room for the employee to exceed the standard. A performance standard or standards describing Fully Successful level of performance based on the duties and responsibilities of the position and the authority of the incumbent to perform will be established for each performance element. Standards must, to the maximum extent feasible, permit the accurate evaluation of job performance based on a range of performance to obtain expected results, including: quality, quantity, manner of performance, and timeliness of work, degree of initiative exercised or supervision required, and effectiveness of interactions with co-workers, customers, and supervisors. There may be more than one statement of measures for each element. When combined, the measures comprise the standards for performance of the performance element.

Employee performance will be monitored in accordance with DoD Instruction 1400.25-M, Volume 431. A progress review should be conducted near the mid-point of the performance cycle. Since the MyPerformance tool does not accommodate the ability to enter performance discussion comments during the progress review, supervisors are encouraged to document performance discussions using memorandums for the record or email for documentation.

The supervisor will evaluate employee performance by assessing performance against the elements and standards in the employee's approved performance plan and assigning a rating of record based on work performed during the appraisal cycle. 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 (approved by the Rating Official and HLR) for 90 calendar days during the cycle.

Performance ratings and performance-based personnel actions will be reviewed and approved by officials at a higher level in the organization than the direct supervisor. Any disagreements between the Rating Official and HLRs on recommended ratings and performance-based recognition will be arbitrated one level higher than the HLR, not further than the Director, DHA, who will have final authority of determination. The rating of record will not be communicated to the employee before approval of the summary rating. This does not preclude communication of performance between a supervisor and an employee prior to determination of a rating of record. All employees will acknowledge and date communication of performance ratings after approval in the MyPerformance appraisal tool. Employees are expected to acknowledge communication of their performance plans, progress reviews, and final annual appraisal. If an employee refuses to acknowledge a performance rating, it will be annotated and finalized as stated in the instructions for the MyPerformance tool. A rating of record is final when it is signed by the employee's supervisor, in his or her capacity as the Rating Official and by an HLR. A rating of record finalized before June 1 will be effective June 1. A rating of record finalized after June 1 will become effective the date the HLR signs.

A rating of record may be produced or changed after the deadline when an employee seeks reconsideration of their ratings of record through the administrative grievance system or, where applicable, through negotiated grievance procedures, or as a result of a grievance, complaint, or other formal proceeding permitted by law or regulation that results in a formal determination by appropriate authority that the rating of record must be changed or as part of a bona fide settlement of such a formal proceeding.

Recognition and rewarding of performance for DHA employees will be in accordance with DoD Instruction 1400.25-M, Volume 431, Section 3.6, and DoD Instruction 1400.25-M, Volume 451.