Annual Appraisal Overview for Rating Official

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 for 90 calendar days during the cycle.

Employee input, while not mandatory, is highly encouraged. When provided, employee input becomes a part of the employee performance file. The absence of employee input does not relieve the supervisor of the responsibility for writing a narrative statement that succinctly addresses the employee's performance measured against the performance standards for the appraisal cycle.

The performance narrative justifies how an employee's ratings are determined and provides support for recognition and rewards (or any administrative or adverse action, if necessary).

The supervisor will assign an individual performance element rating of 5, 3, or 1 to each critical element. All performance element ratings are averaged to calculate the rating of record, which reflects the employee's overall performance during the appraisal cycle based on the rating criteria outlined in Table 1.

Performance narratives are required for each element rated '5' Outstanding and '1' Unacceptable.

Table 1 – Rating Level and Criteria

Rating Level	Rating Criteria
Level 5 – Outstanding	The summary rating of all performance element ratings is 4.3 or greater, with no element being rated a '1' (Unacceptable), resulting in a rating of record that is a '5'
Level 3 – Fully Successful	The summary rating of all performance element ratings is less than 4.3, with no element being rated a '1' (Unacceptable), resulting in a rating of record that is a '3'
Level 1 – Unacceptable	Any performance element rated as '1'

When is an Annual Appraisal Prepared?

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.

Who Participates in an Annual Appraisal?

- A rating official can:
  - ✓ transfer the performance plan to the employee to provide written input.
  - ✓ review the employee's input and prepare a performance narrative that succinctly addresses the employee's performance measured against the performance standards for the appraisal cycle.
  - ✓ assign an individual performance element rating of either 5, 3 or 1 to each critical element.
  - ✓ document approval/disapproval and communication of the Annual Appraisal to the employee.

- An employee can:
  - ✓ provide written input about performance accomplishments for supervisors to consider in evaluating each of the performance standards and overall performance accomplishments.
  - ✓ transfer ownership to the rating official to provide performance narratives.
  - ✓ review rating official performance narrative and acknowledge the Annual Appraisal.

Starting an Annual Appraisal

Steps to Start an Annual Appraisal

1. On the *MyPerformance Main Page*, select the performance plan you want to start an Annual Appraisal for, make sure **Action** column reflects **Update** and select **Go** button. You must have ownership of the approved performance plan to make any changes. If you do not have ownership of the approved performance plan you can retrieve the plan by selecting Retrieve under Action column.

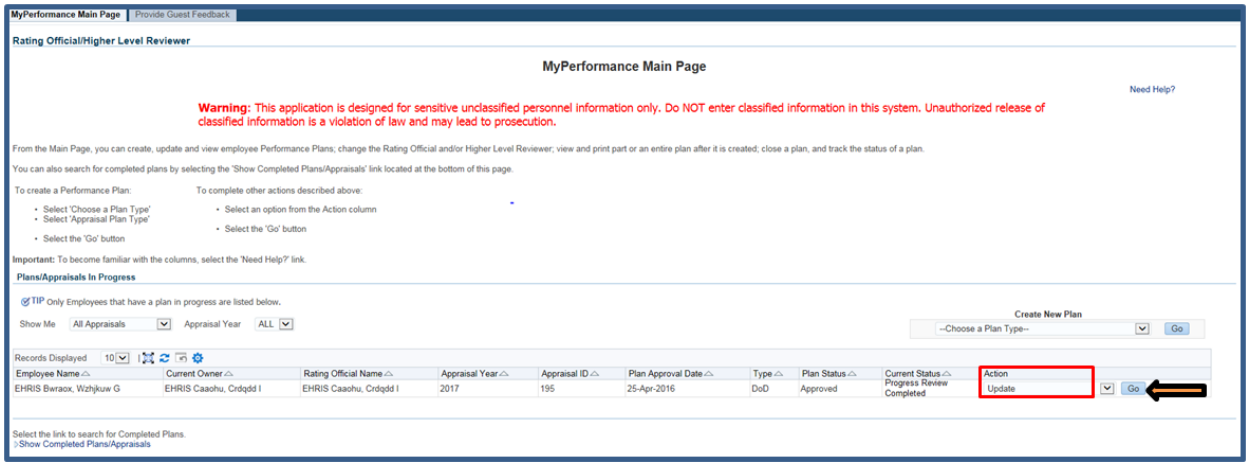

Figure 1 - *MyPerformance Main Page>Starting Annual Appraisal*

2. When a rating official has update capability (when **Action** column on *Main Page* reflects **Update**), the rating official must acknowledge (using **Acknowledge** button) that he or she has read and acknowledges his or her role and responsibilities during the appraisal period each time before working in MyPerformance.

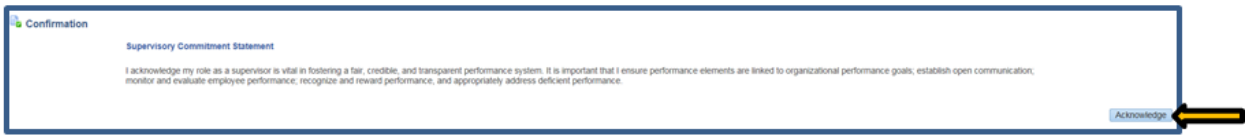

Figure 2 - *Supervisor Commitment Statement*

3. The *Step 1: Plan Details* page is displayed as pictured below in Figure 3. Select the *Annual Appraisal* tab to start the Annual Appraisal. If you need to get out of the tool at this time, select the **Choose an Action** list of values **(**LOV) drop down arrow, select **Return to Main Page,** followed by **Go** button.

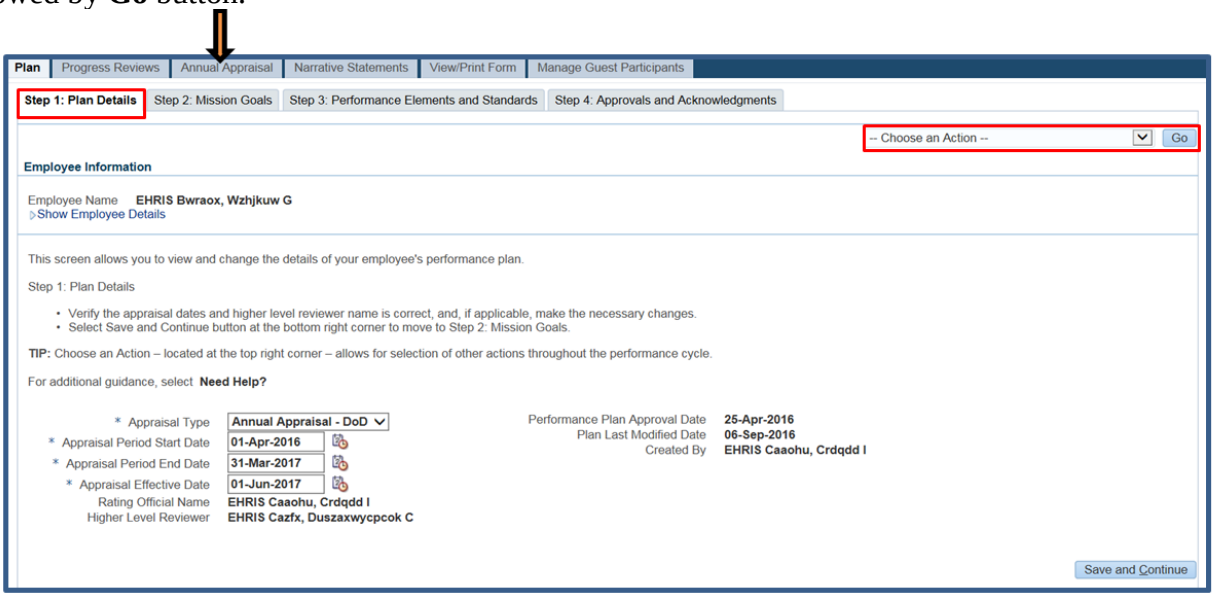

Figure 3 – *Plan>Step 1: Plan Details>Navigate to Annual Appraisal Tab*

4. The *Annual Appraisal* page is displayed as pictured in Figure 4. There are three sub tabs on this page: *Assessments and Ratings, Rating of Record, and Approvals and Acknowledgments*.

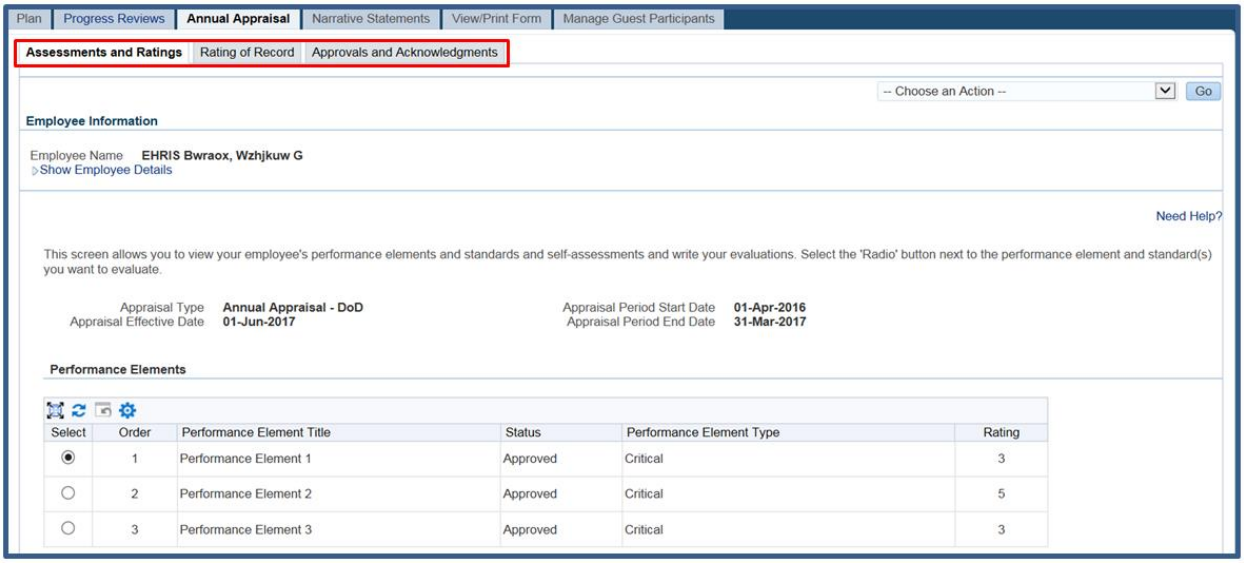

Figure 4 – ***Annual Appraisal>Assessments and Ratings, Rating of Record, and Approvals and Acknowledgments Sub Tabs***

5. Select the radial button next to the performance element and standards you want to enter your performance narrative and enter a performance element rating.

NOTE: If an employee does not have an opportunity to perform work associated with a performance element for 90 calendar days during the appraisal cycle, no performance element rating will be assigned for that performance element. An unratable performance element cannot be used as a factor in deriving a rating of record.

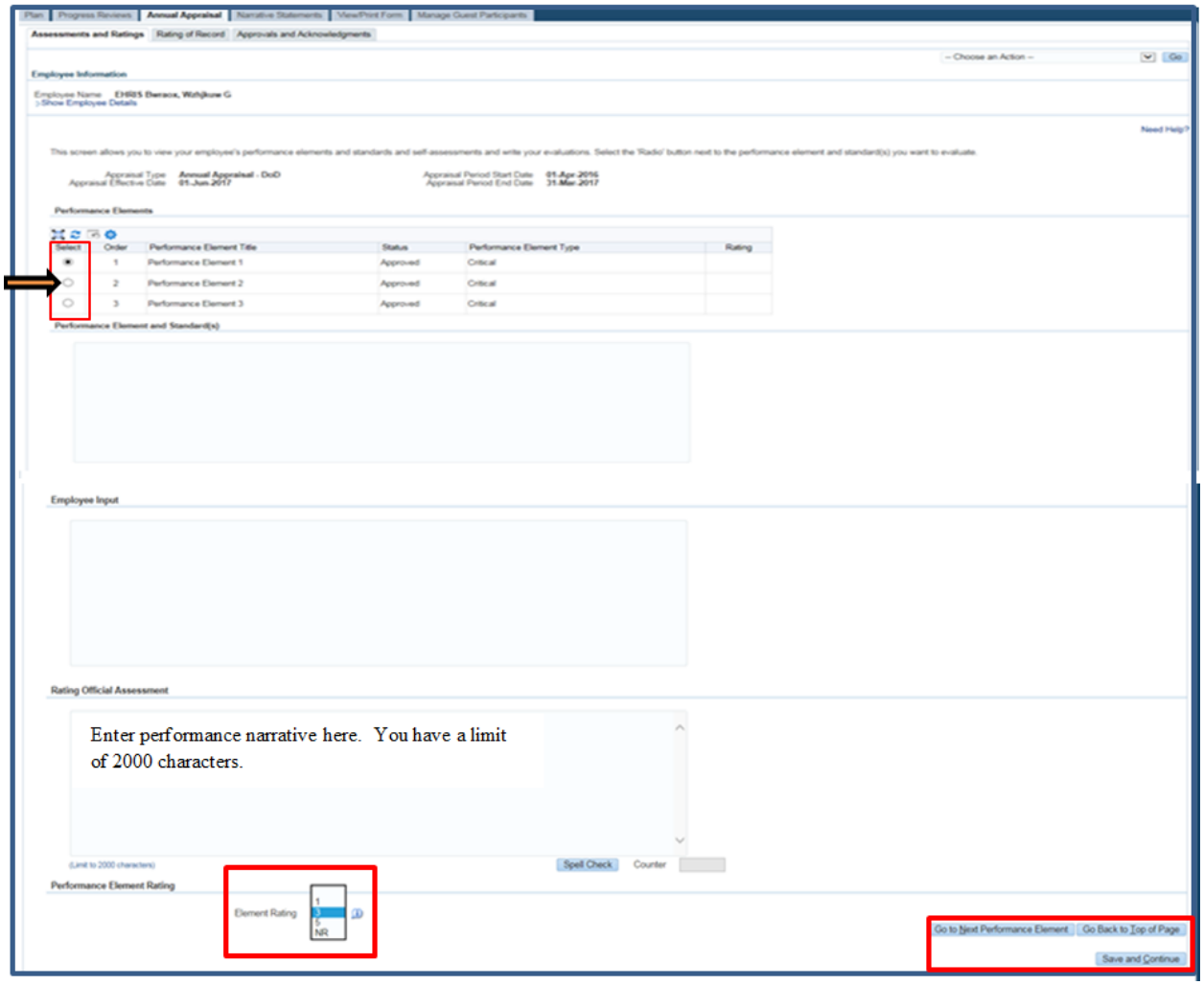

Figure 4 – ***Annual Appraisal>Assessments and Ratings>Narrative Statement and Element Rating***

6. Select Rating of Record sub tab to review your rating of record. Ratings can be changed on this page by selecting the drop down arrow and the average score and rating of record will automatically recalculate.

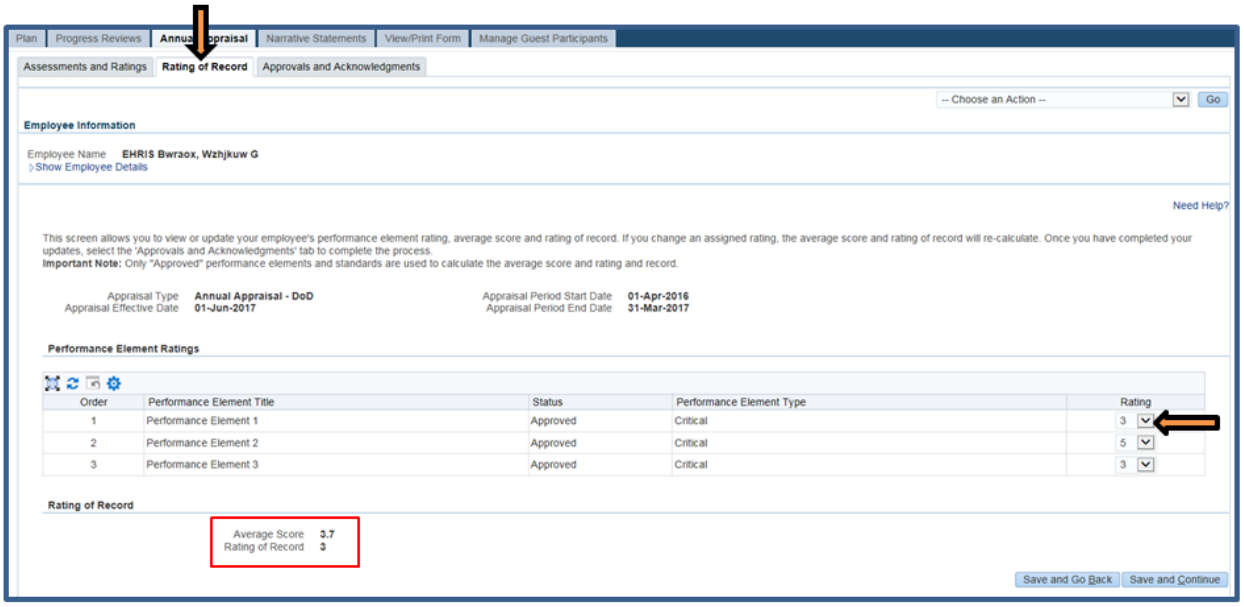

Figure 5 - *Annual Appraisal>Rating of Record*

7. Selecting the Rating drop down arrow, allows you to select another rating of 5, 3, 1, or NR.

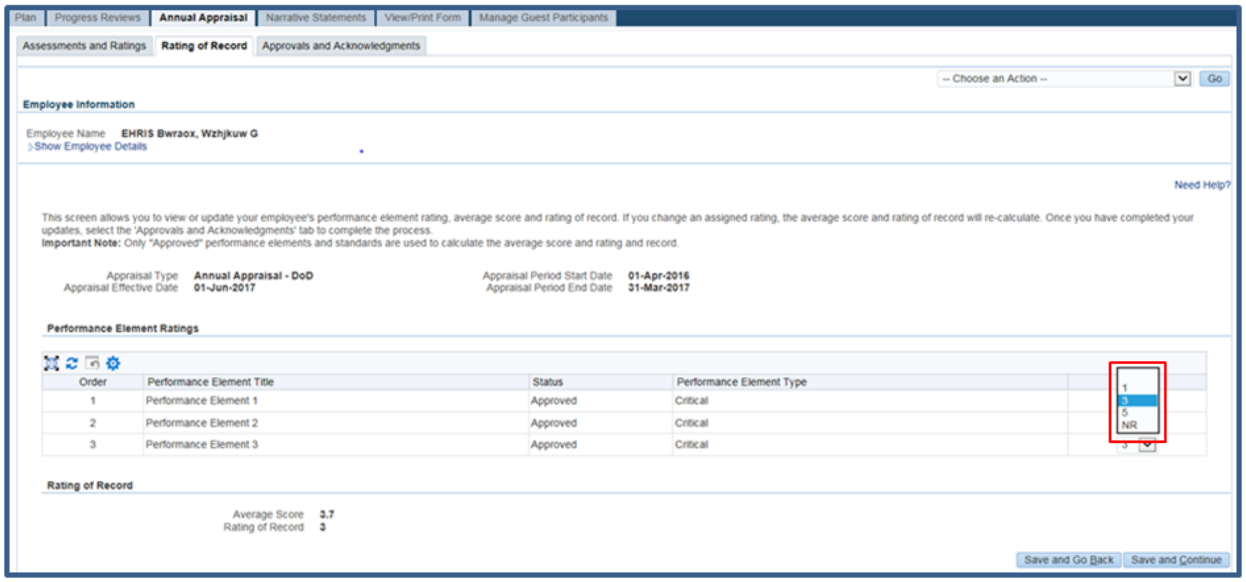

Figure 6 - *Annual Appraisal>Rating of Record>Review or Change Ratings*

8. Once performance narratives and element ratings are entered, you can transfer to the employee for their input against each performance elements and standard(s). The employee will not be able to view your performance narratives and element ratings until the Annual Appraisal has been communicated to the employee.

9. To transfer your performance plan/appraisal to the employee, first select **Choose an Action** LOV drop down arrow depicted in the red box below. Second, select **Transfer to Employee**. Lastly select the **Go** button to the right.

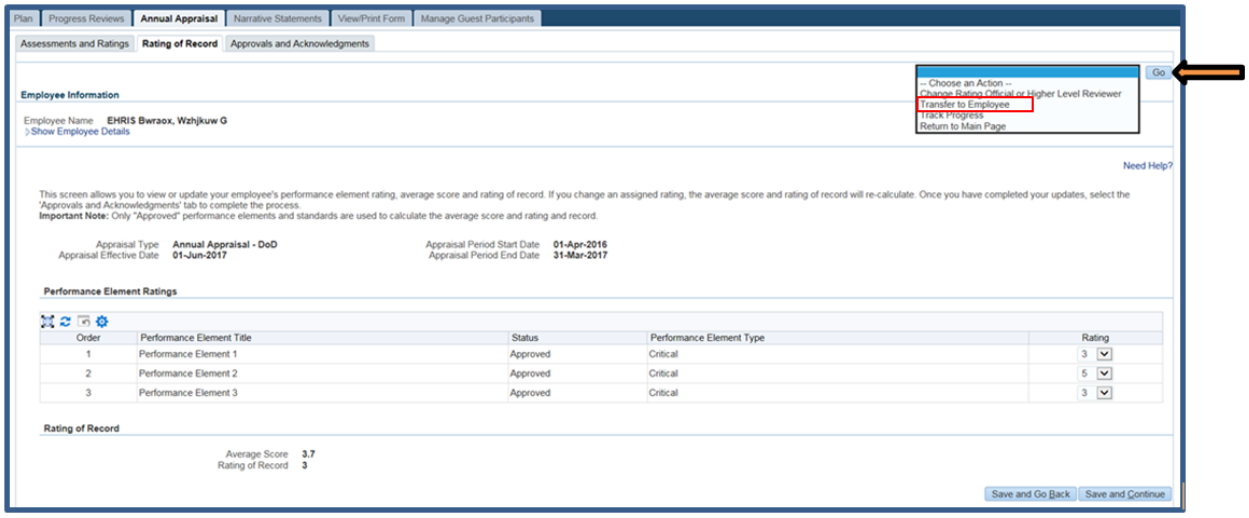

Figure 7 - *Choose an Action>Transfer to Employee*

10. You have the option to transfer to the employee with or without e-mail notification. If you chose to enter comments in the **Message to Employee** area, your message will show up in the e-mail. Select the **Transfer to Employee without E-mail Notification** or **Transfer to Employee with E-mail Notification** button to transfer the performance plan to the employee.

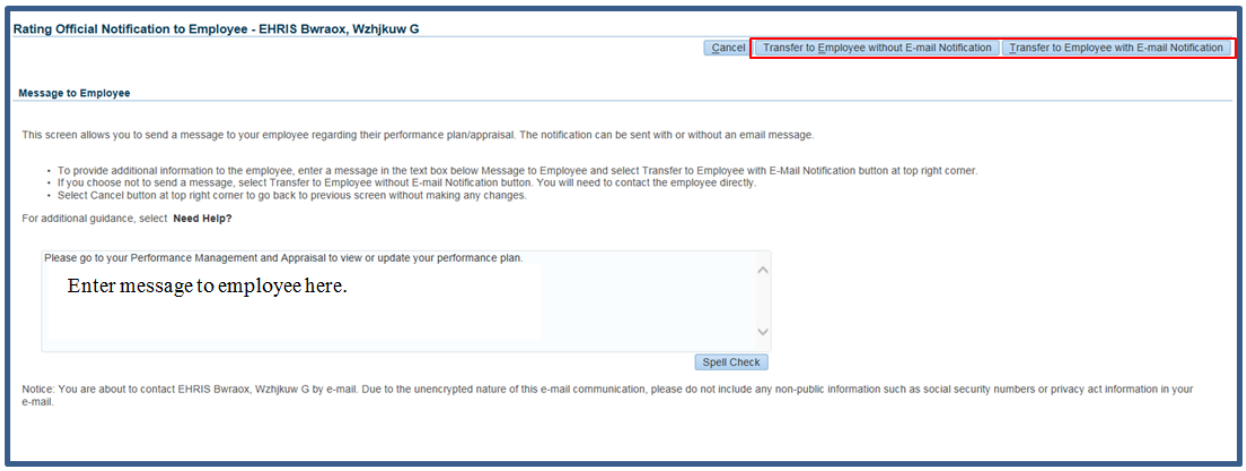

Figure 8 - *Rating Official Notification to Employee*

NOTE: If the employee does not have an email address in DCPDS, the page that appears will only give you the option to send without email notification. You will also be advised to contact the employee to have them enter an email address for work using MyBiz+.

11. You will be returned to the *MyPerformance Main Page* and will receive a confirmation that the appraisal has been submitted to the employee. The performance plan/appraisal is now displayed under Appraisals of (employee name) section on the *MyPerformance Main Page* as pictured in Figure 9. You no longer have ownership and can only view the performance plan/appraisal. However, at any time, you have the option to retrieve the plan from the employee.

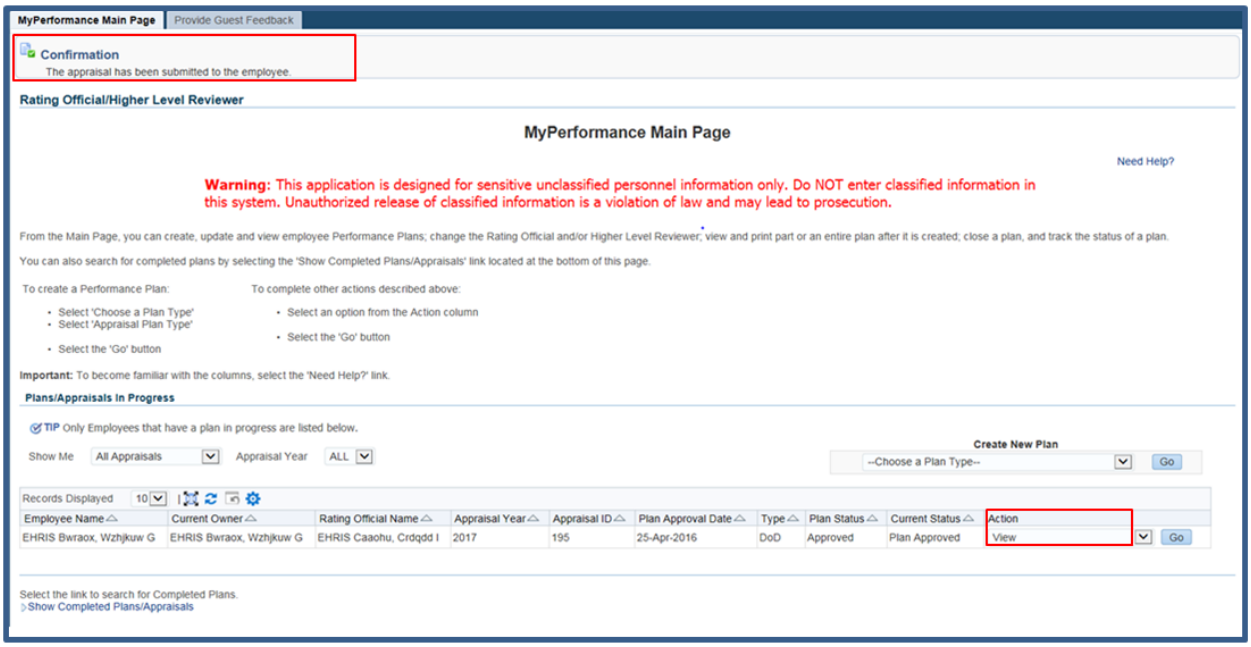

Figure 9 - *MyPerformance Main Page*

Reviewing and Editing Performance Narrative and Element Ratings

After the annual review has been started by either you or employee, it may require edits and further input from either you or your employee. The annual review could be routed to you awaiting your performance narrative, work in process requiring edits, or final document ready for review. You are not able to make any edits to the employee input.

This section shows you how to edit your performance narrative and element ratings and transfer it back and forth between you and your employee.

Steps to Review and Edit Annual Appraisal

1. At the *MyPerformance Main Page*, select the performance plan/appraisal you want to edit the performance narrative, make sure **Action** column reflects **Update** and select the **Go** button. You must have ownership of the performance plan to make any changes.

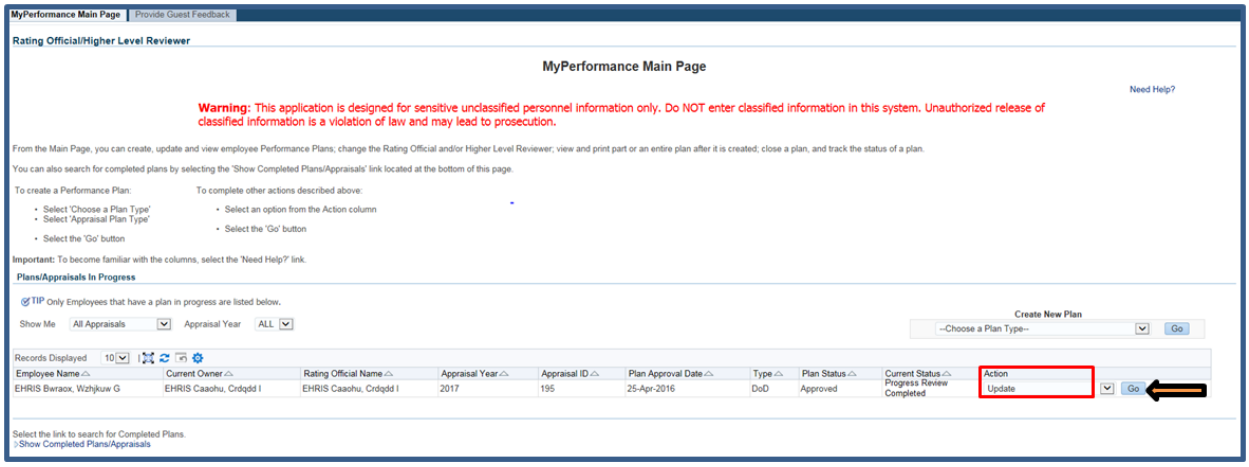

Figure 10 - *MyPerformance Main Page*

2. When a rating official has update capability (when **Action** column on *Main Page* reflects **Update**), the rating official must acknowledge (using **Acknowledge** button) that he or she has read and acknowledges his or her role and responsibilities during the appraisal period each time before working in MyPerformance.

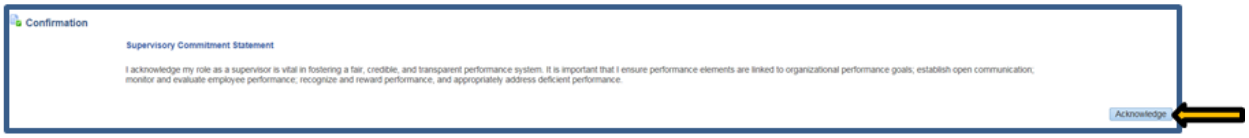

Figure 11 - *Supervisory Commitment Statement*

3. The *Plan Details* page is displayed as pictured below in Figure 12. Select *Annual Appraisal* tab to review and update the Annual Appraisal.

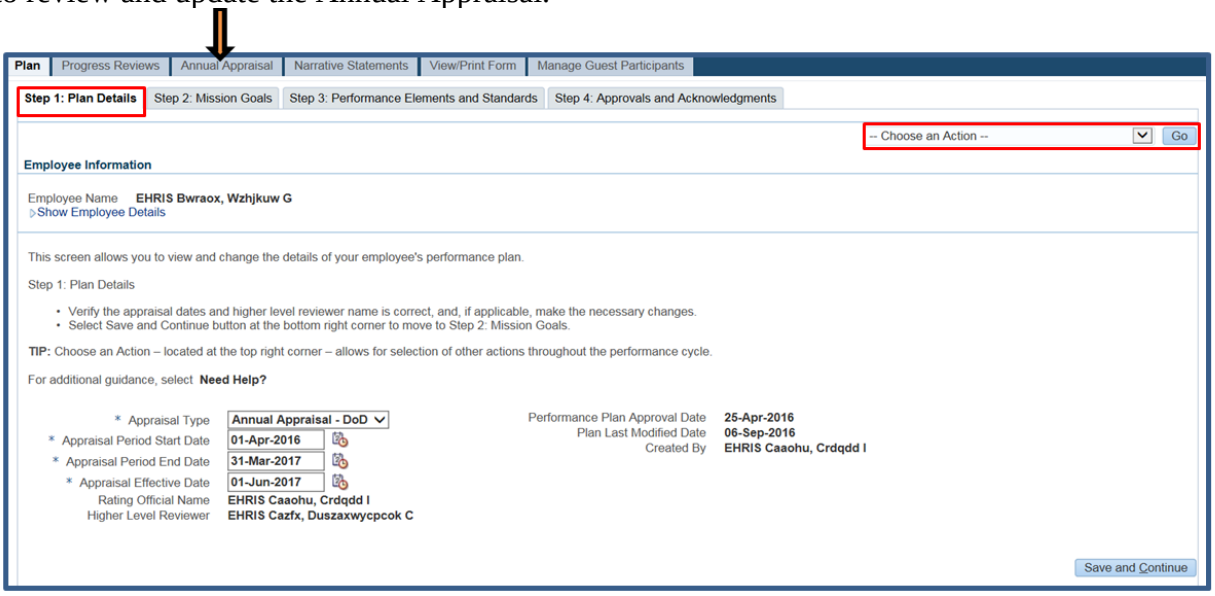

Figure 12 - ***Step 1: Plan Details>Navigate to Annual Appraisal***

4. The *Annual Appraisal* page is displayed as pictured in Figure 13. Select the radial button next to the performance element and standard of which you wish to edit the performance narrative and/or performance element rating.

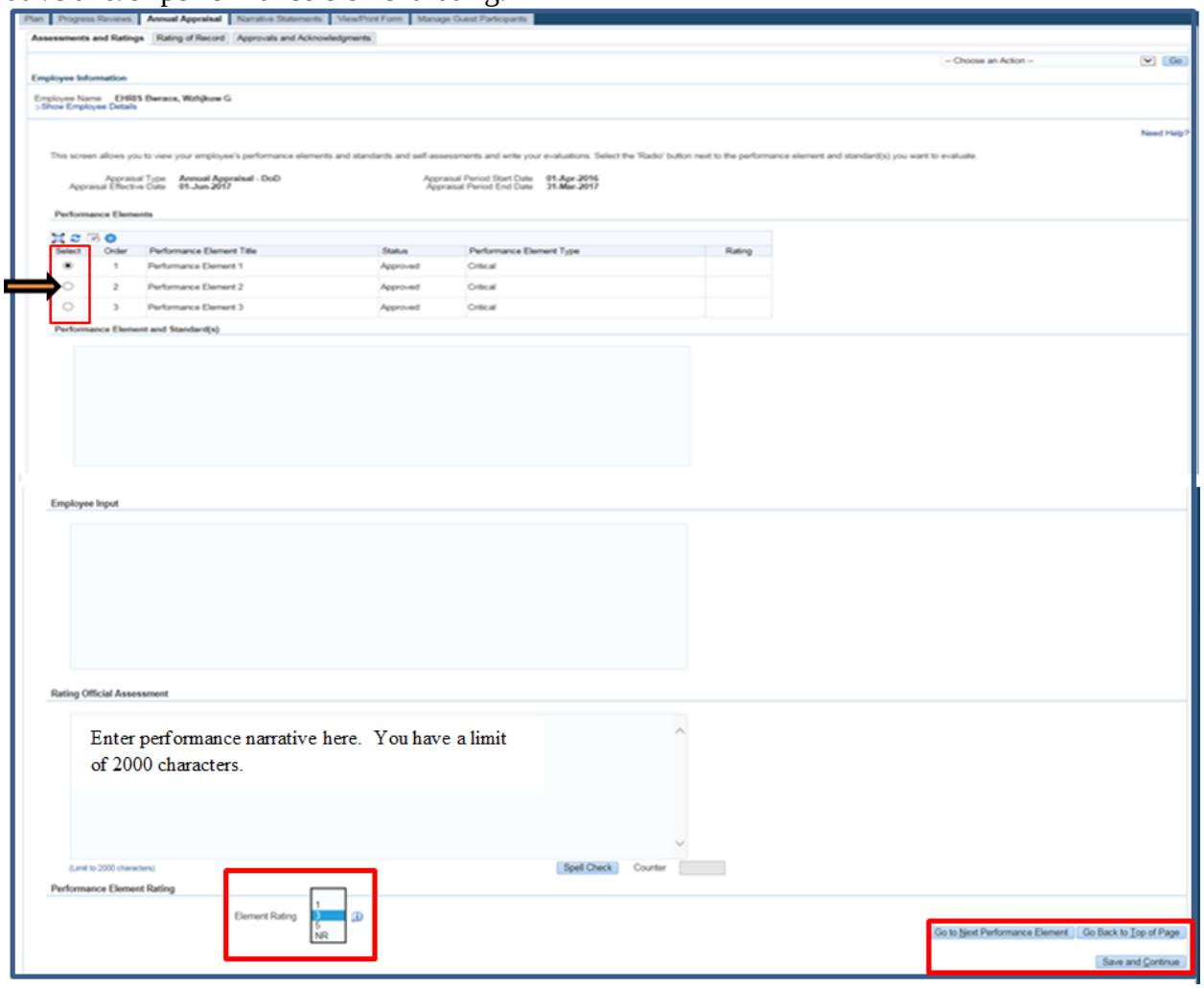

Figure 13 - *Assessments and Ratings>Edit Performance Narratives and Ratings*

5. At this point, you have reviewed the employee input and made all of the changes to your performance narratives and element ratings. You can either transfer to employee for changes to their input or start the approval and/or communication process. Select *Approvals and Acknowledgments* tab to document approval and communication process.

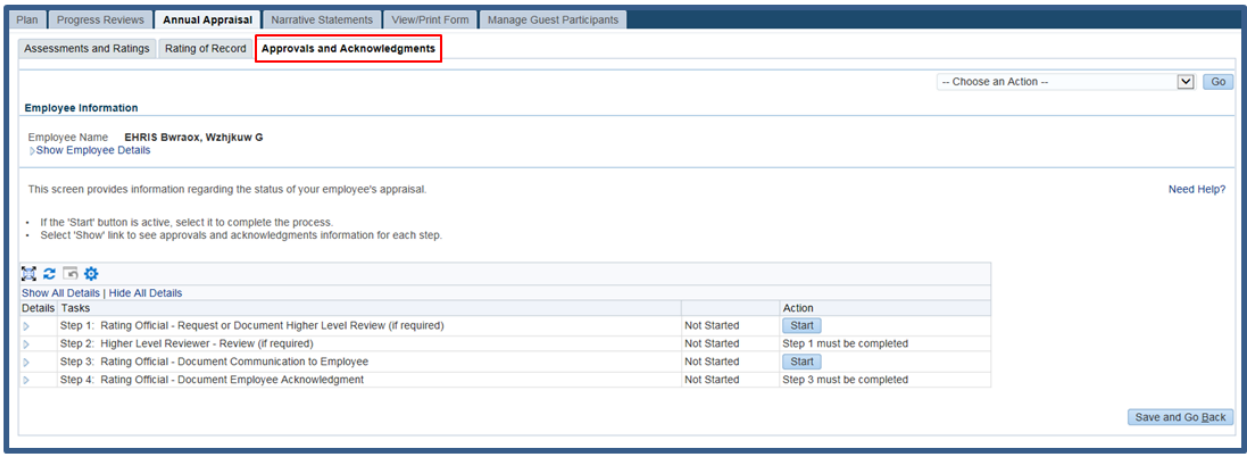

Figure 14 - *Annual Appraisal>Approvals and Acknowledgments*

Approving the Annual Appraisal

As described earlier, the typical steps in the Annual Appraisal process are as follows. The steps covered in this section are bold and italicized:

1. The employee enters their employee input or rating official starts the Annual Appraisal, and rating official enters performance narratives and element ratings for each performance element and standard(s).

2. The employee and rating official edit and/or add to the input and/or performance narratives and element ratings as needed. This process may involve multiple rounds of editing and transfers between the employee and rating official before the Annual Appraisal is communicated to the employee.

3. The Annual Appraisal is approved by the higher level reviewer, as appropriate, or the rating official documents the higher level reviewer approval.[1]

4. The rating official documents communication to employee and transfers the Annual Appraisal to the employee for acknowledgment.

5. The employee reviews the Annual Appraisal and acknowledges that it was communicated to him or her by the rating official.

6. If an employee is not available to acknowledge or refuses to acknowledge the Annual Appraisal, you will need to document this information.

[1] *As required by Component policy IAW DoDI 1400.25 V431

Table 2: Annual Appraisal Approval Steps

The below table provides the steps to be taken for obtaining approval of the Annual Appraisal.

Step Number	Performer	Approval Step	Status	Description
1	Rating Official (RO)	Request or Document Higher Level Review*	Not Started	
			Completed	RO has requested HLR review or documented that HLR review has occurred*
2*	Higher Level Reviewer (HLR), as appropriate	Review	Not Started	
			Completed	HLR has approved the plan
3	Rating Official	Document Communication to Employee	Not Started	
			Completed	RO has entered communication method and date and transferred to the employee or proceeded to Step 4
4	Employee or Rating Official	Document Employee Acknowledgment	Not Started	
			Completed	Employee acknowledged receipt or RO has entered com-munication method and date

*As required by Component policy IAW DoDI 1400.25 V431

Steps for Annual Appraisal Approval

1. At the *MyPerformance Main Page* select the annual approval you want the higher level reviewer to approve or document the higher level reviewer approval, make sure **Action** column reflects **Update** and select **Go** button. You must have ownership of the performance plan.

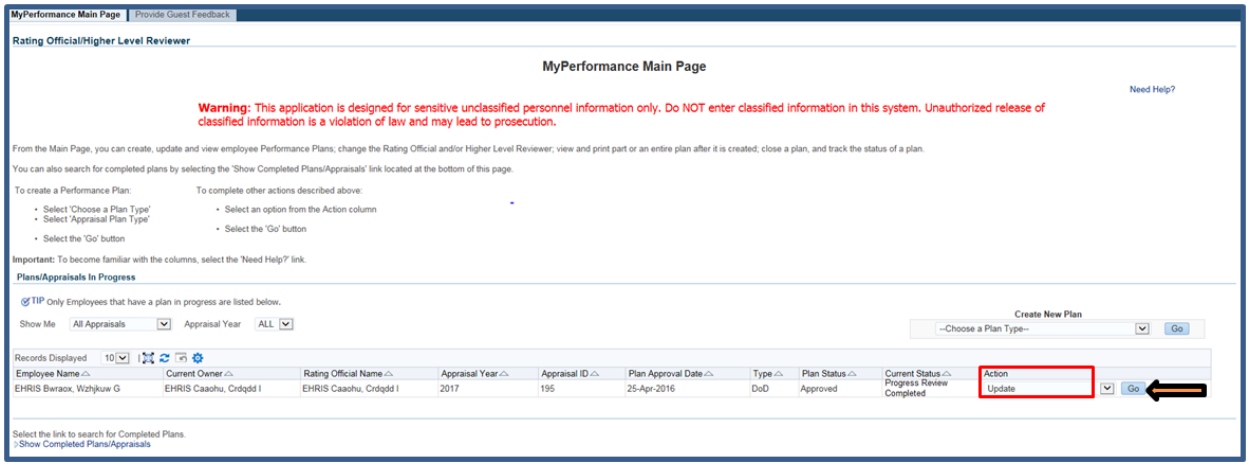

Figure 15 - *MyPerformance Main Page*

2. When a rating official has update capability (when **Action** column on *Main Page* reflects **Update**), the rating official must acknowledge (using **Acknowledge** button) that he or she has read and acknowledges his or her role and responsibilities during the appraisal period each time before working in MyPerformance.

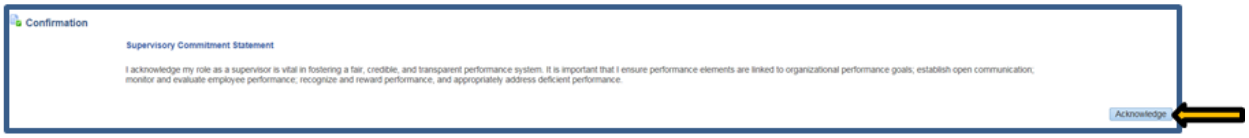

Figure 16 - *Supervisory Commitment Statement*

3. Navigate to Annual Appraisal by selecting the *AnAnnual Appraisal* tab.

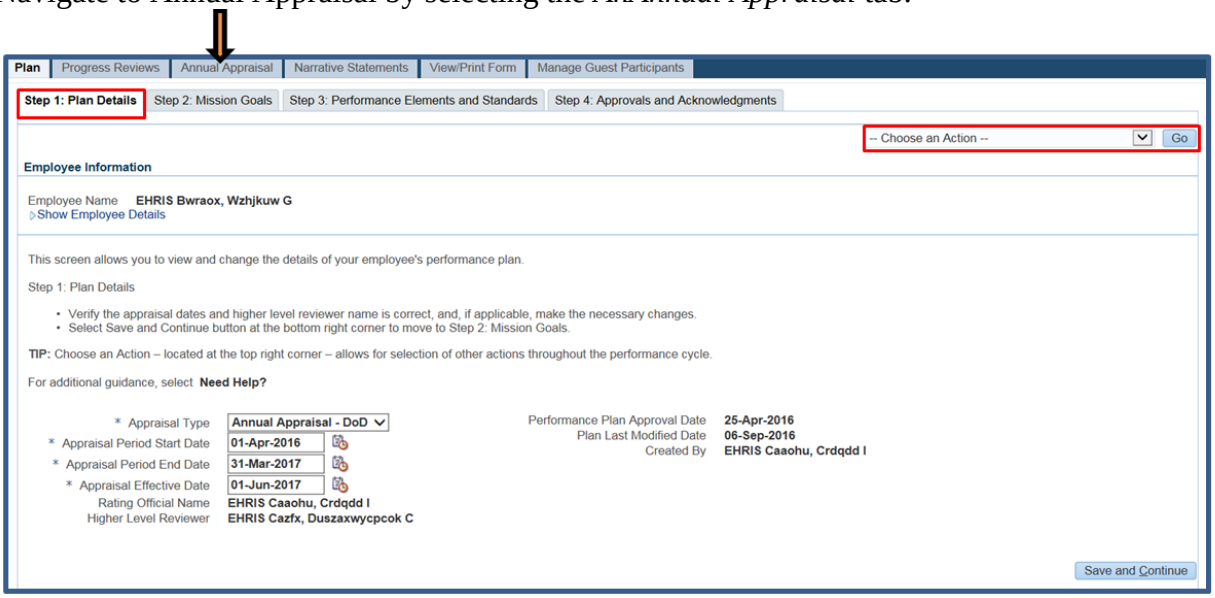

Figure 17 - *Step 1: Plan Details>Navigate to Annual Appraisal*

4. The *Annual Appraisal* page is displayed as pictured in Figure 18. Navigate to Approvals and Acknowledgments tab and select the **Start** button for *Step 1: Rating Official – Request or Document Higher Level Review (if required).*

NOTE: A rating of '1' Unacceptable must be reviewed and approved by a higher level reviewer.

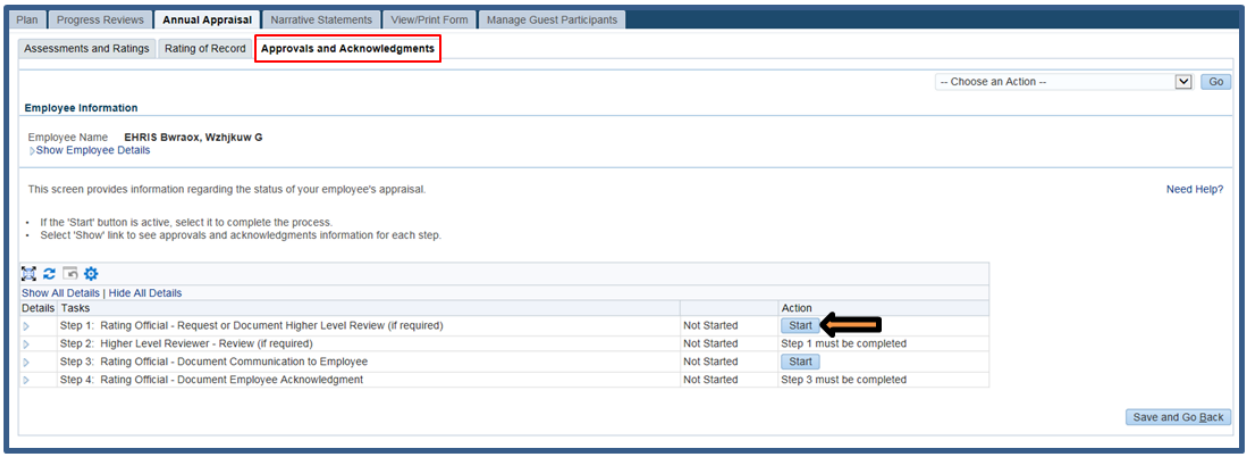

Figure 18 - *Approvals and Acknowledgments>Step 1: Rating Official - Request or Document Higher Level Reviewer*

5. The Step 1 task has been opened for detail review and additional information. The following options are available:

Option A: Select Option A if the higher level reviewer needs to review and approve the performance plan.

- Change the name of the higher level reviewer, if necessary.
- Select **Transfer to Higher Level Reviewer with** or **without email notification**. (If there is no email address for the higher level reviewer, you will only have the option to transfer without email notification.)
- Enter a notification message to the higher level reviewer and select **Transfer to Higher Level Reviewer with E-mail Notification**.

NOTE: Select Option B if you are both the rating official and higher level reviewer.

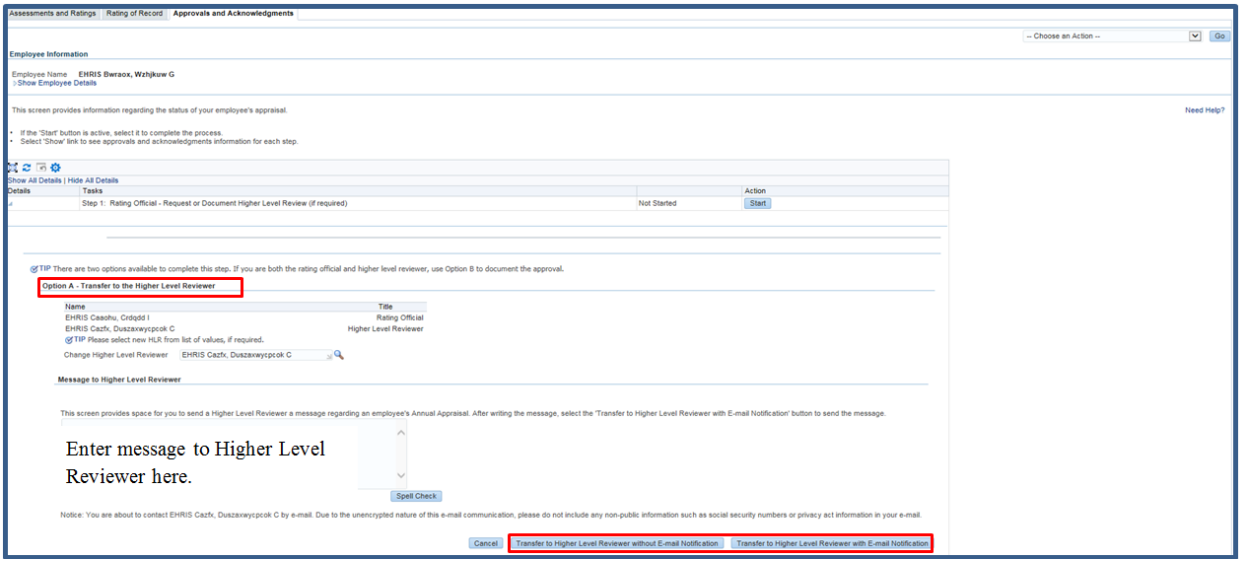

Figure 19 - *Approvals and Acknowledgments>Option A*

6. The rating official is navigated to *MyPerformance Main Page* after selecting to transfer to the higher level reviewer with email in **Option A**. The rating official will receive a Confirmation message stating the plan/appraisal has been submitted to the higher level reviewer. The **Current Status** is now 'Annual Pending HLR Approval.'

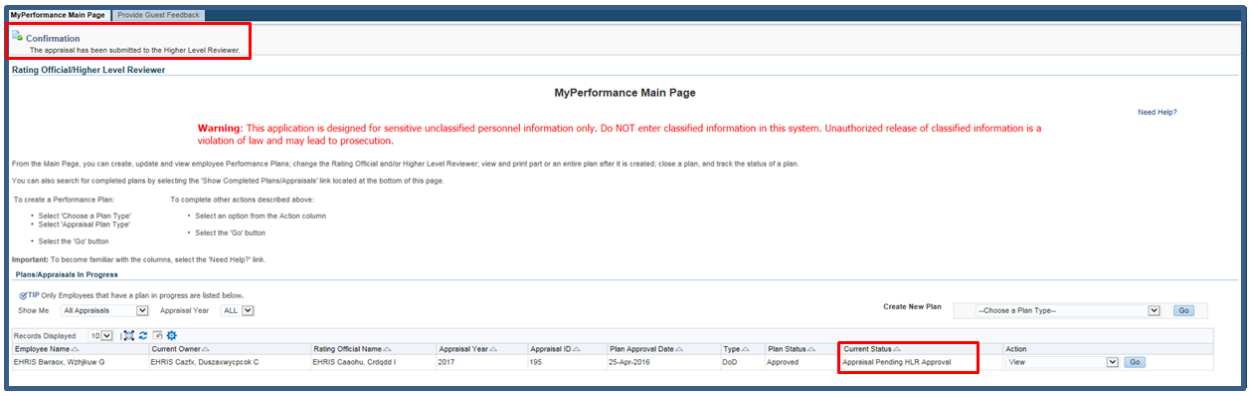

Figure 20- *MyPerformance Main Page>Confirmation Message*

7. **Option B:** Annual Appraisal / A*pprovals and Acknowledgments* tab and select **Start** button for *Step 1: Rating Official – Request or Document Higher Level Review*. **Option B** is located in the lower portion of the page and provided here.

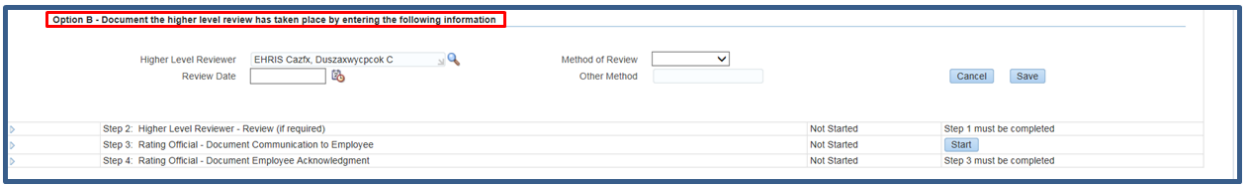

Figure 21 - *Approvals and Acknowledgments>Option B*

8. If the higher level reviewer has given the rating official the authority to document the rating official's decisions and the higher level reviewer's approval, the rating official will select Option B. Option B also applies if the rating official is the higher level reviewer or

there is no higher level reviewer. The following options are available:

Table 3 – Documenting the Higher Level Reviewer Process

- Change the name of the higher level reviewer, if necessary.
- Document the higher level review has taken place, enter the following information:
  - Enter the Review Date, and
  - Enter Method of Review and Other Method, if necessary (see below chart)

If You …	Then …
Communicated the performance plan by face-to-face meeting or telephone	Select **Face-to-Face** or **Telephone** from the **Communication Method** list of values (LOV), as appropriate
Communicated the peformance plan using some other method	Select **Other** from **Communication Method** LOV and enter a short description of the method in **Other** field (20 characters maximum)

9. Select the **Save** button.

Figure 22 - *Approvals and Acknowledgments>Option B>Documenting Higher Level Review*

10. Certify the information in this performance plan accurately documents the rating official's decisions and the higher level reviewer's approval by selecting the **Yes** button.

Figure 23- A*pprovals and Acknowledgments>Option B>Certification*

11. The next step would be to document communication to employee, select the **Start** button to the right of the task titled: *Step 3: Rating Official - Document Communication to Employee* Start button.

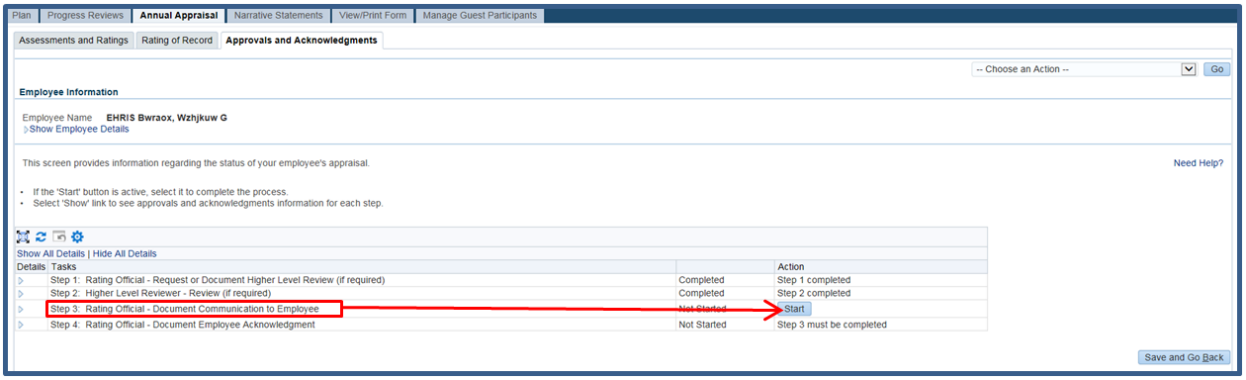

Figure 24 - *Approvals and Acknowledgments>Step 3 Rating Official - Document Communication to Employee*

12. To document communication with employee has taken place; enter the following information using the table provided.

- Enter the Communication Date, and
- Enter the Communication Method and Other, if necessary (see below chart)

Table 4 – Documenting communication with the employee

If You…	Then…
Communicated the performance plan by face-to-face meeting or telephone	Select **Face-to-Face** or **Telephone** from the **Communication Method** list of values (LOV), as appropriate
Communicated the peformance plan using some other method	Select **Other** from **Communication Method** LOV and enter a short description of the method in **Other** field (20 characters maximum)
Tried to communicate to employee and they refused to acknowledge plan or not available to electronically acknowledge it	Select **Other** from the **Communication Method** LOV and document it in **Other** field

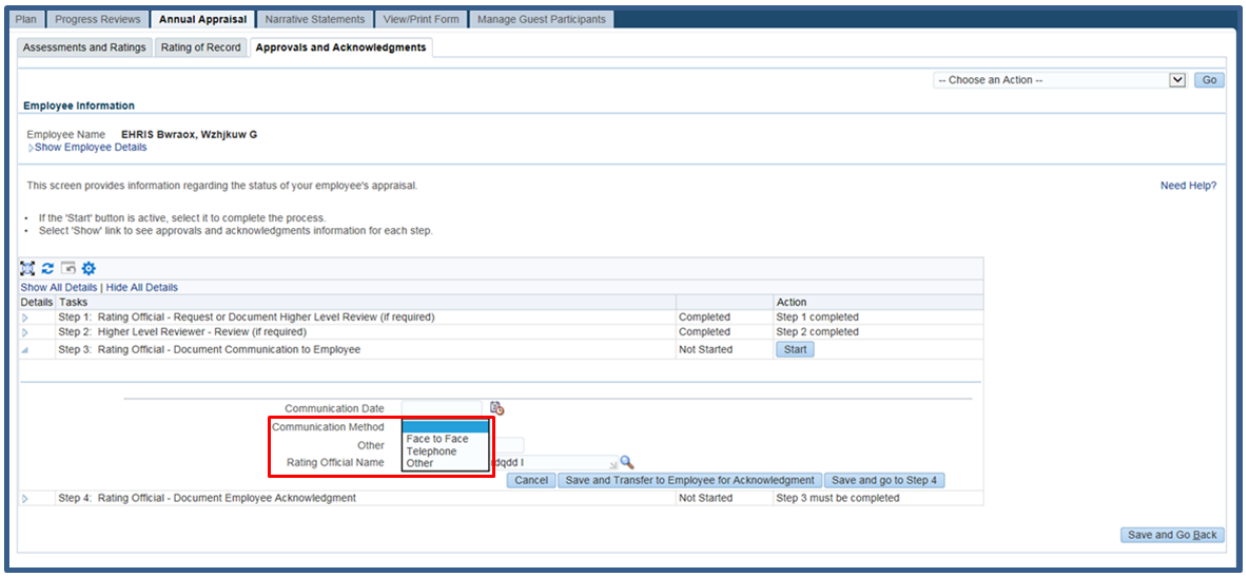

Figure 25 - *Approvals and Acknowledgments>Step 3 Rating Official - Document Communication to Employee*

13. Once the Communication Date, Method and Other, if necessary, are completed, the rating offical can either select **Save and Transfer to Employee for Acknowledgment** or **Save and go to Step 4**.

14. For this scenario, the rating official selects the **Save and Transfer to Employee for Acknowledgment** button.

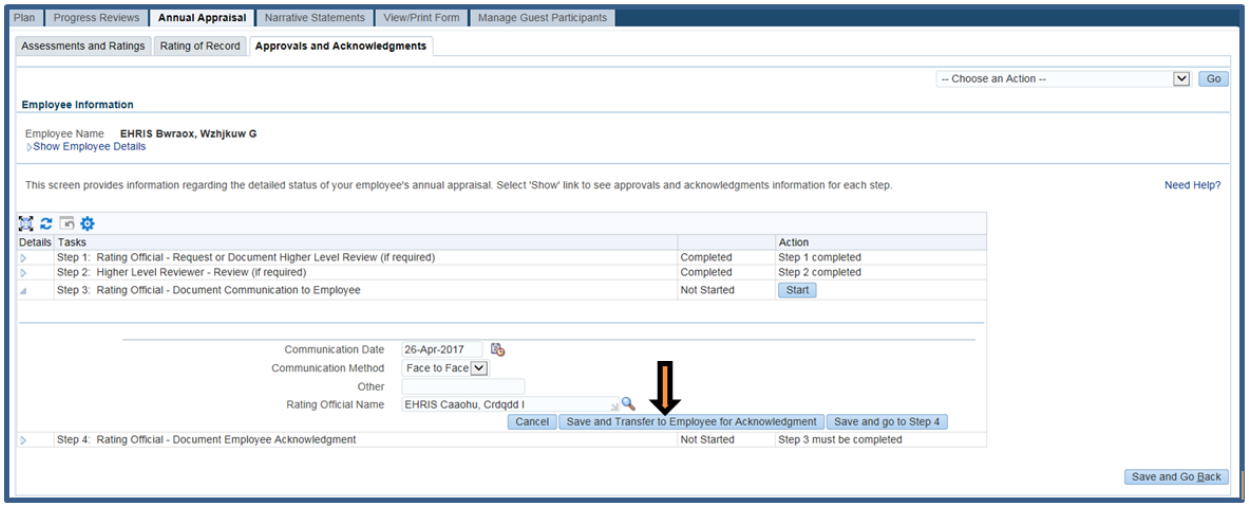

Figure 26 - *Approvals and Acknowledgements>Save and Transfer to Employee for Acknowledgment*

15. The rating official can send the employee a message regarding the performance plan or transfer to the employee without an E-mail notification. If you need to send an email message, select **Transfer to Employee with E-mail Notification** button. If there is no need for an email message, select **Transfer to Employee without E-mail Notification**.

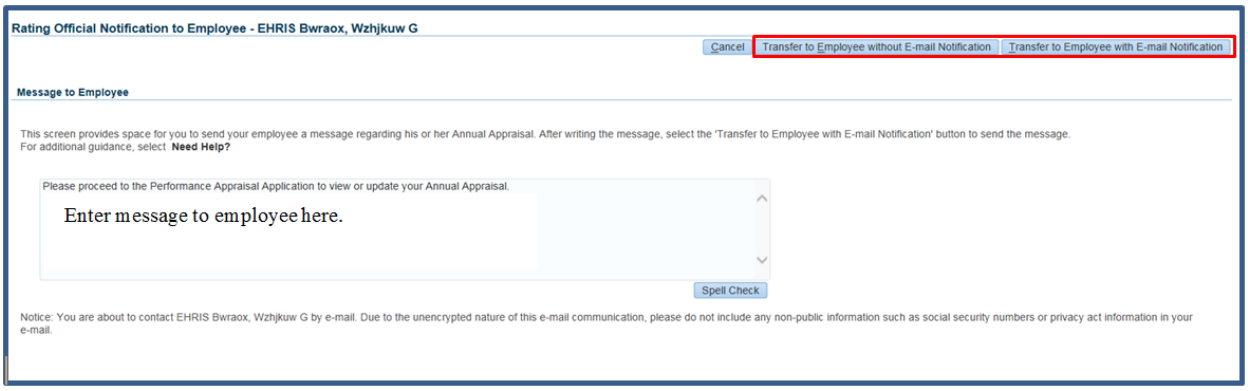

Figure 27 - *Annual Appraisal>Rating Official Notification to Employee*

16. The rating official is navigated to *MyPerformance Main Page*. The rating official will receive a **Confirmation** message stating the plan/appraisal has been submitted to the employee. The employee will need to acknowledge receipt of their performance plan.

NOTE: The Current Status is Pending Employee Acknowledgment.

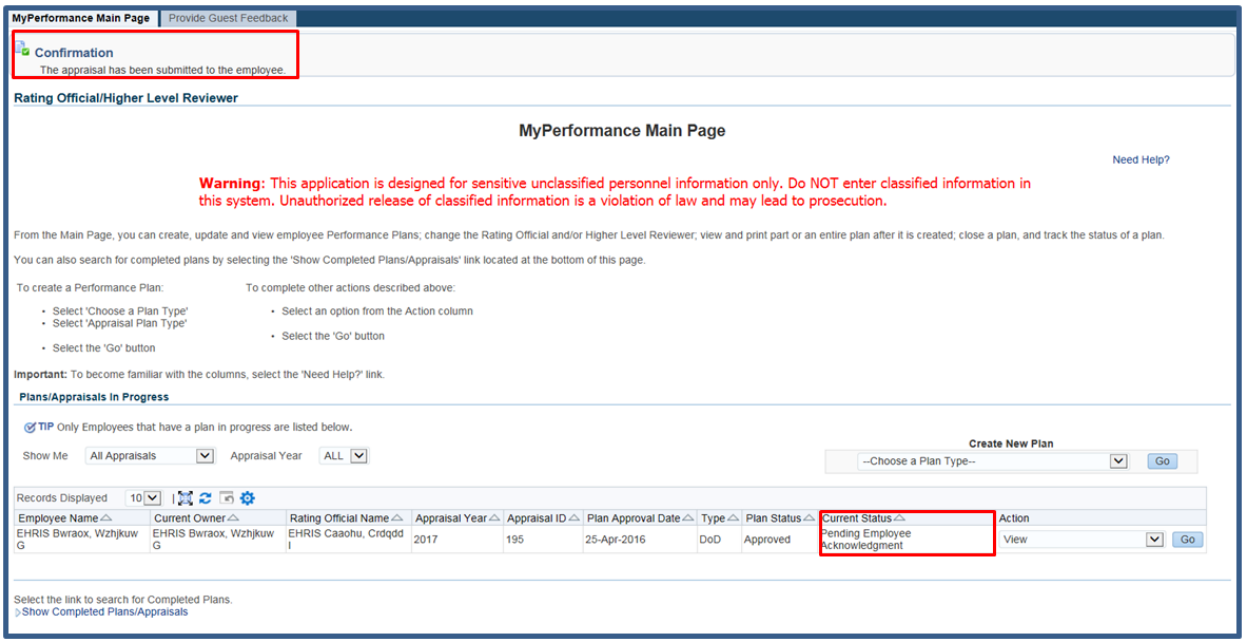

Figure 28 - *MyPerformance Main Page>Transfer to Employee Confirmation*

17. For this scenario, the rating official selects **Save and go to Step 4** button since the employee may refuse to acknowledge the plan or not be available to electronically acknowledge it, etc.

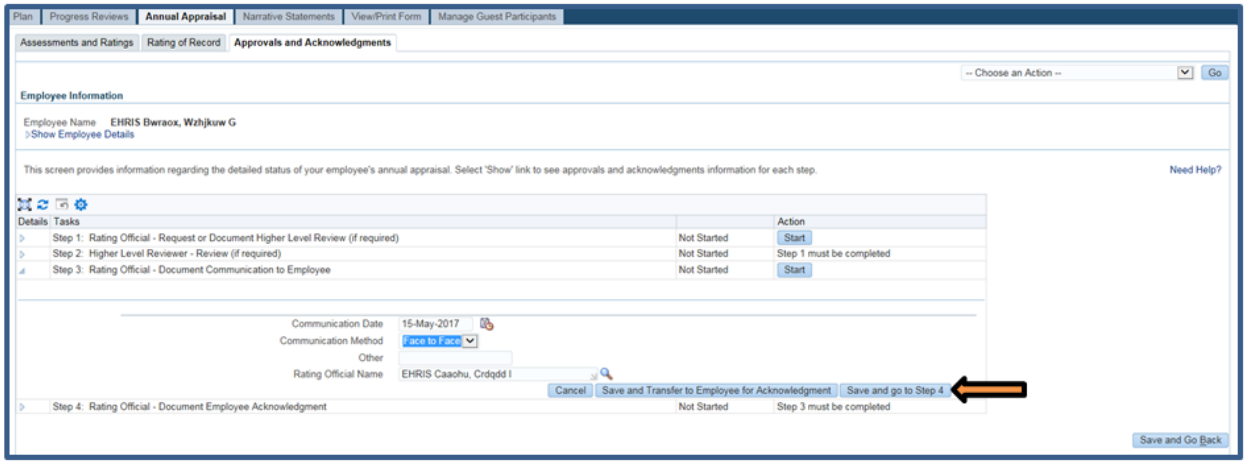

Figure 29 – *Annual Appraisal>Approvals and Acknowledgments>Save and go to Step 4*

18. Select **Yes** that you are sure you want to go to Step 4.

Figure 30 - *Annual Approvals>Approvals and Acknowledgments> Save and go to Step 4 Confirmation*

19. The **Start** button is available for *Step 4: Rating Official – Document Employee Acknowledgment*. Select **Start** button.

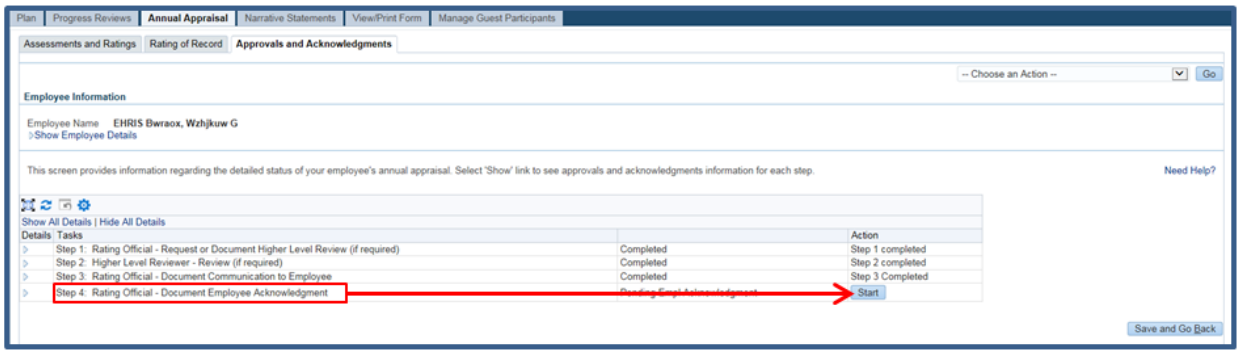

Figure 31 - *Approvals and Acknowledgments>Step 4: Rating Official - Document Employee Acknowledgment*

20. To document employee acknowledgment, enter the following information:

- Enter **Acknowledgment**, and
- Enter **Other Method**, if necessary

Table 5 – Documenting the employee's acknowledgement

If …	Then …
Employee is unable to acknowledge performance plan due to out of office, no system access, or declined	Select **Unable to Sign**, **No System Access** or **Employee Declined** from the Acknowledgment list of values

	(LOV), as appropriate
Performance plan was acknowledged using some other method	Select **Other** from **Acknowledgment** LOV and enter a short description of the method in **Other Method** field (20 characters maximum)

21. Enter **Acknowledgment** and **Date** and select **Save** button.

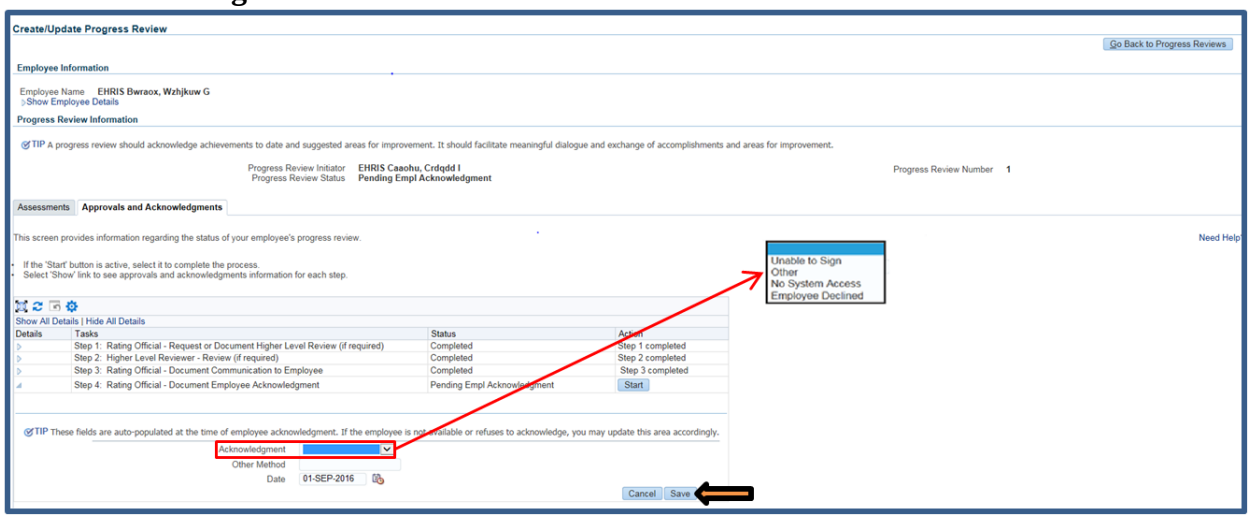

Figure 32 - *Approvals and Acknowledgments>Step 4: Rating Official - Document Employee Acknowledgment*

22. You will receive a Confirmation message about the appraisal being removed from the Plans/Apraisals in Progress on the *MyPerformance Main Page*, select **Yes** button to continue.

Figure 33 - *Approvals and Acknowledgments>Step 4: Rating Official - Document Employee Acknowledgment>Confirmation*

23. To print a copy of the appraisal form before you return to the *MyPerformance Main Page*, select **Print Appraisal Form** button.

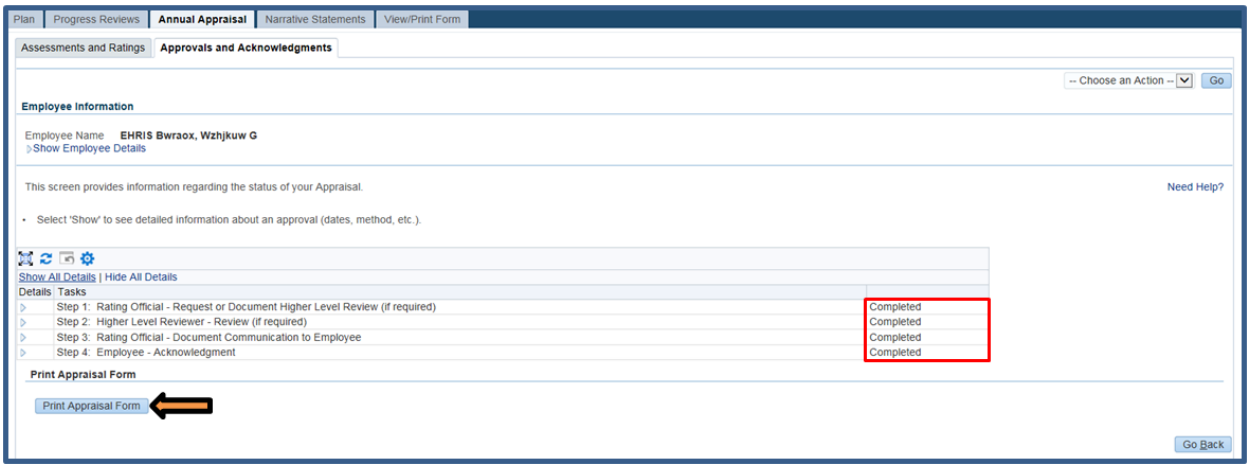

Figure 34 - *Annual Appraisal>Approvals and Acknowledgments>Print Appraisal Form*

24. You can open or save the DD Form 2906, for this scenario, select **Save** button.

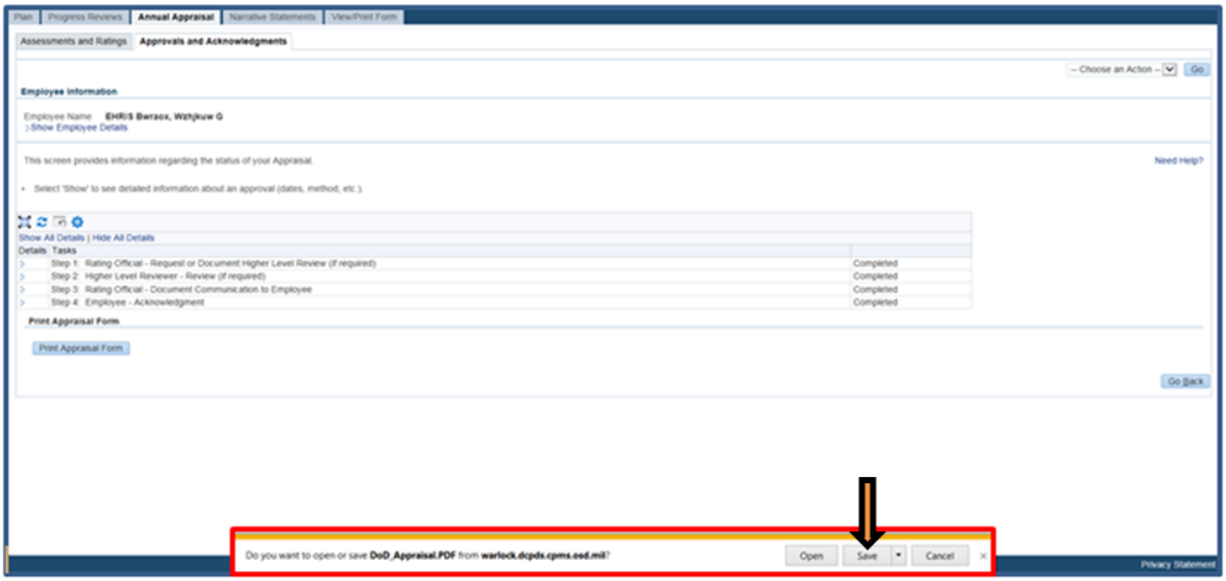

Figure 35 - *Print Appraisal Form>Open-Save-Cancel DD Form 2906*

25. Once the DD Form 2906 download has completed, you can select **Open**, **Open folder**, or **View downloads** button. Select the **Open** button, form will open as a .pdf file.

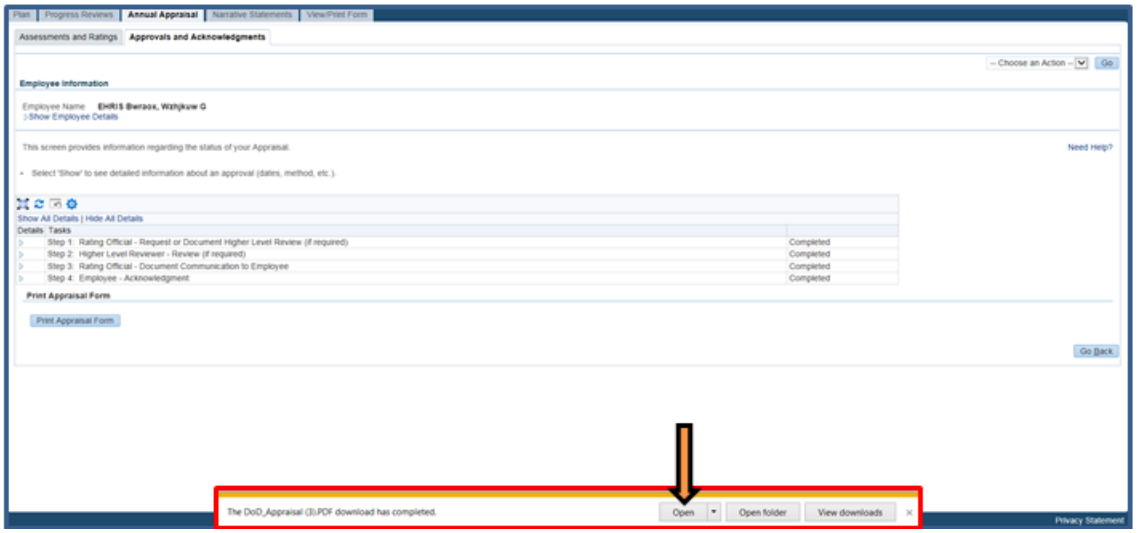

Figure 36 - *DD Form 2906>Open-Open Folder-View downloads*

26. Close DD Form 2906 and select **Choose an Action** LOV drop down arrow depicted in the red box below. The only actions that are available are **Change Rating Official or Higher Level Reviewer**, **Transfer to Employee**, **Track Progress** and **Return to Main Page**. To return to *MyPerformance Main Page*, select **Return to Main Page**. Lastly select the **Go** button to the right.

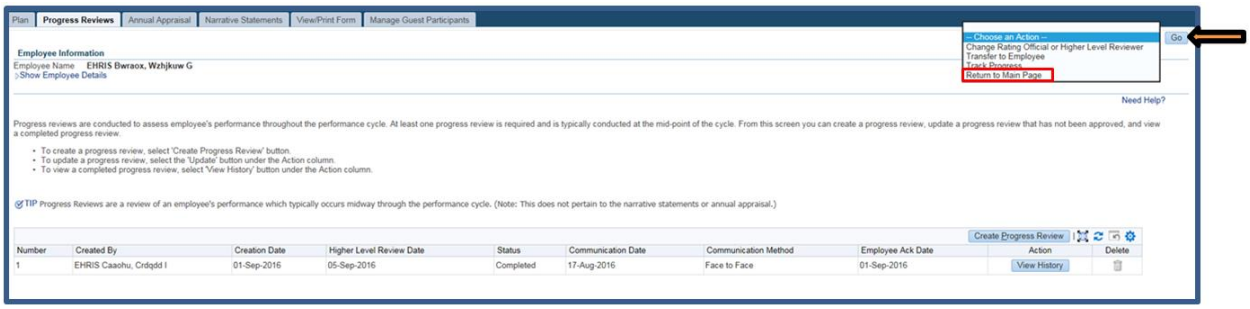

Figure 37 - *Choose an Action>Return to Main Page*

27. The completed Annual Appraisal has been removed from the **Plans/Appraisals in Progress** area. An official copy of the DD Form 2906 was placed in **Completed Plans/Appraisals** found on the bottom of the **MyPerformance Main Page**. Select **Completed Plans/Appraisals** link.

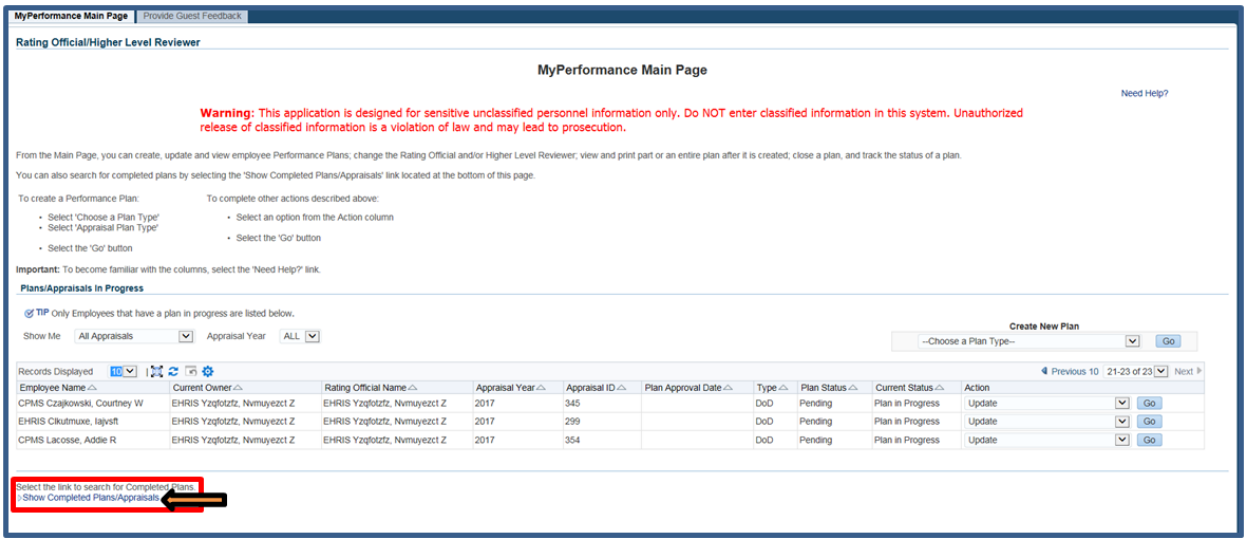

Figure 38 - *MyPerformance Main Page>Completed Plans/Appraisals*

28. You can enter Employee Name, Appraisal Year and/or Event. Select Event down arrow to select the appropriate event you want displayed. For DoD Performance Management Appraisal Program, you will need to select **DoD Performance Plan**, **DoD Narrative Statement**, **DoD Annual Appraisal**, **DoD Progress Review**, or **DoD Performance Plan – Modified**. To Find Employee's 2017 DoD Annual Appraisal, fill out information and select **Find** button.

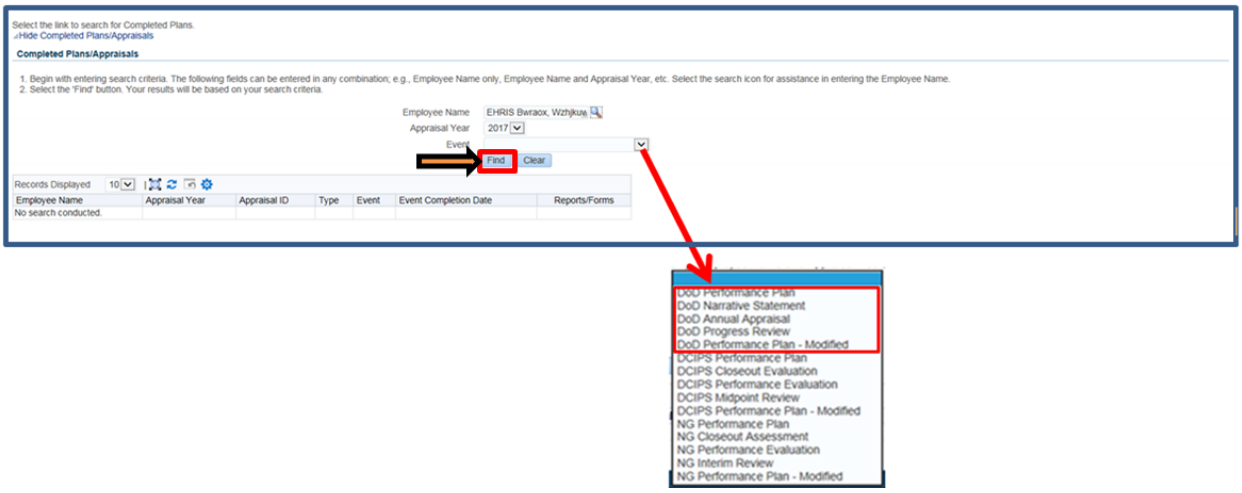

Figure 39 - *MyPerformance Main Page>Completed Plans/Appraisals*

29. Select the Printer icon to open or save the DD Form 2906.

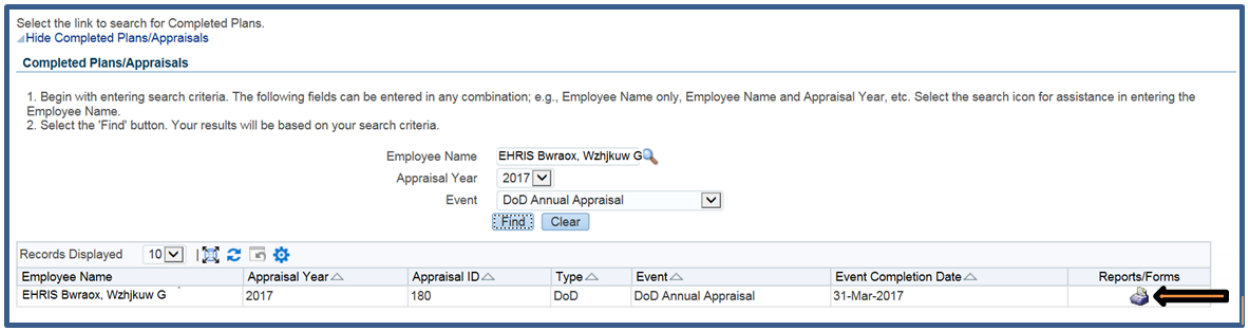

Figure 40 - *MyPerformance Main Page>Completed Plans/Appraisals>Reports/Forms*

30. Select **Open** or **Save** button. The **Save** button will Save, Save as, or Save and Open.

Figure 41 - *Do you want to open or save DoD_Appraisal.PDF?*