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 and valuable for end of the appraisal cycle where the 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 accessing the employee’s performance standards and contributions. Supervisors will write a performance narrative 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 job 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

<table>
<thead>
<tr>
<th>Rating Level</th>
<th>Rating Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 5 - Outstanding</td>
<td>The average score of all critical element performance ratings is 4.3 or greater, with no critical element being rated a ‘1’ (Unacceptable), resulting in a rating of record that is a ‘5’</td>
</tr>
<tr>
<td>Level 3 – Fully Successful</td>
<td>The average score of all critical element performance ratings is less than 4.3, with no critical element being rated a ‘1’ (Unacceptable), resulting in a rating of record that is a ‘3’</td>
</tr>
<tr>
<td>Level 1 – Unacceptable</td>
<td>Any critical element rated as ‘1’</td>
</tr>
</tbody>
</table>
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 ownership to the employee to provide inputs.
  - ✓ 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 and or 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 elements 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.
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.

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.

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.
5. Select the radio 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.
Table 2 - Decision Table for Annual Appraisal

<table>
<thead>
<tr>
<th>If You…</th>
<th>Then…..</th>
</tr>
</thead>
<tbody>
<tr>
<td>Want to go to the next performance element to enter your input</td>
<td>Select the <strong>Go to Next Performance Element</strong> button</td>
</tr>
<tr>
<td></td>
<td><strong>Go to Next Performance Element</strong></td>
</tr>
<tr>
<td>Want to go back to the top of the page after you have finished with your input</td>
<td>Select <strong>Go Back to Top of the Page</strong> button</td>
</tr>
<tr>
<td></td>
<td><strong>Go Back to Top of Page</strong></td>
</tr>
<tr>
<td>Want to go to Rating of Record sub tab</td>
<td>Select <strong>Save and Continue</strong> button</td>
</tr>
<tr>
<td></td>
<td><strong>Save and Continue</strong></td>
</tr>
</tbody>
</table>

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.

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

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.
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.

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.
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.
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.

3. The *Plan Details* page is displayed as pictured below in Figure 12. Select **Annual Appraisal** tab to review and update the annual appraisal.
4. The *Annual Appraisal* page is displayed as pictured in Figure 13. Select the radio button next to the performance element and standards you want to edit your performance narrative and/or performance element rating.

5. At this point, you have made all of the changes to your performance narratives and element ratings and reviewed the employee input. 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.
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 or rating official starts the annual appraisal, transfers to employee to enter input, 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 3: Annual Appraisal Approval Steps

The below table provides the steps to be taken for obtaining approval of the annual appraisal.

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

*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.
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.

3. Navigate to annual appraisal by selecting the Annual Appraisal tab.

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.
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.’

7. **Option B**: Annual Appraisal / Approvals 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.

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 4 – 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)

<table>
<thead>
<tr>
<th>If You …</th>
<th>Then …</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communicated the performance plan by face-to-face meeting or telephone</td>
<td>Select <strong>Face-to-Face</strong> or <strong>Telephone</strong> from the <strong>Communication Method</strong> list of values (LOV), as appropriate</td>
</tr>
<tr>
<td>Communicated the performance plan using some other method</td>
<td>Select <strong>Other</strong> from <strong>Communication Method</strong> LOV and enter a short description of the method in <strong>Other</strong> field (20 characters maximum)</td>
</tr>
</tbody>
</table>

9. Select the **Save** button.

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.

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.
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 5 – Documenting communication with the employee

<table>
<thead>
<tr>
<th>If You…</th>
<th>Then…</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communicated the performance plan by face-to-face meeting or telephone</td>
<td>Select <strong>Face-to-Face</strong> or <strong>Telephone</strong> from the <strong>Communication Method</strong> list of values (LOV), as appropriate</td>
</tr>
<tr>
<td>Communicated the performance plan using some other method</td>
<td>Select <strong>Other</strong> from <strong>Communication Method</strong> LOV and enter a short description of the method in <strong>Other</strong> field (20 characters maximum)</td>
</tr>
<tr>
<td>Tried to communicate to employee and they refused to acknowledge plan or not available to electronically acknowledge it</td>
<td>Select <strong>Other</strong> from the <strong>Communication Method</strong> LOV and document it in <strong>Other</strong> field</td>
</tr>
</tbody>
</table>
13. Once the Communication Date, Method and Other, if necessary, are completed, the rating official 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.

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**.
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.

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

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

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

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

**Table 6 – Documenting the employee’s acknowledgement**

<table>
<thead>
<tr>
<th>If ...</th>
<th>Then ...</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee is unable to acknowledge performance plan due to out of office, no system access, or declined</td>
<td>Select <strong>Unable to Sign</strong>, <strong>No System Access</strong> or <strong>Employee Declined</strong> from the Acknowledgment list of values</td>
</tr>
</tbody>
</table>
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.

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.

23. To print a copy of the appraisal form before you return to the *MyPerformance Main Page*, select **Print Appraisal Form** button.
24. You can open or save the DD Form 2906, for this scenario, select **Save** button.

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.
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.

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.
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.

29. Select the Printer icon to open or save the DD Form 2906.
30. Select **Open** or **Save** button. The **Save** button will Save, Save as, or Save and Open.

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

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