MEMORANDUM FOR DISTRIBUTION

Subj: CNAP STAFF AND SUBORDINATE COMMAND GUIDANCE FOR DEFENSE PERFORMANCE MANAGEMENT AND APPRAISAL PROGRAM (DPMAP)

Ref: (a) DoDI 1400.25 V431, DoD Civilian Personnel Management System: Performance Management Appraisal Program
(b) SECNAVINST 12410.25A, Civilian Employee Training and Career Development

Encl: (1) Documenting and Communicating Performance Standards
(2) CNAP Benchmark Descriptors for Rating Levels 5, 3, and 1
(3) DoD Core Values, CNAP Mission, and Sample Supervisory Elements
(4) User Guides for Employees and Rating Officials (ROs) (Embedded Files)

1. Reference (a) provides Defense Performance Management and Appraisal Program (DPMAP) governing guidance with reference (b) providing Civilian Employee Training and Career Development guidance. Commander, Naval Air Force, Pacific (CNAP) non-bargaining civilian personnel enter DPMAP on 1 October 2017 through 31 March 2018 and re-start DPMAP again on 1 April 2018 through 31 March 2019. CNAP bargaining unit personnel enter DPMAP on 1 October 2018 through 31 March 2019 and re-start DPMAP again on 1 April 2019 through 31 March 2020. The 1 April through 31 March rating cycle is the normal reporting structure. Enclosures (1) through (4) provide further DPMAP guidance.

2. CNAP and our subordinate commands are committed to maintaining a high-performance culture supported by a fair, credible, and transparent DPMAP process. Performance management is a strategic tool to increase individual success and accountability, achieve organizational goals, and improve operational efficiency. An effective performance management program helps supervisors recognize their employee’s full performance potential by differentiating between high achievers and those requiring improvement. Performance management should be a continuous process of communication, development, and results. DPMAP is designated to actively encourage two-way communication between the supervisor and employee throughout the performance appraisal cycle.

3. When implementing DPMAP, the following key guidelines shall be followed:

   a. Employee roles.

      (1) Develop an Individual Development Plan (IDP) leveraging the Total Workforce Management Service (TWMS) system as input into the performance plan. IDP’s are required per reference (b).

      (2) Participate and provide input into the development and revision of their performance plan.
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(3) Gain an understanding of their supervisor’s expectations and request clarification, if required.

(4) Perform at a level identified by the performance elements and standards identified in the performance plan. Bring to supervisor’s attention any issues that may impact accomplishing performance expectations and request feedback, when required.

(5) Prepare for and participate in performance discussions.

(6) Initiate discussion and engage with supervisor to improve workplace effectiveness and/or personal performance.

(7) Review MyBiz+ for accuracy.

b. First line Supervisor/Rating Official (RO) roles.

(1) An RO is the first line supervisor for all subordinate employees. Supervisor assignment is within the Defense Civilian Personnel Data System (DCPDS) supervisor hierarchy which drives the rating chain for DPMAP performance appraisals. If DCPDS supervisor hierarchies are incorrect, contact your Civilian Personnel Liaison workforce for correction.

(2) Foster a collaborative work environment to sustain organization effectiveness and a high performing workforce.

(3) Coordinate with employees in developing performance plans by developing performance elements and standards written at the “Fully Successful” level using SMART criteria leveraging position duties and Individual Development Plan (IDP) linked to organizational mission and goals. Although DPMAP guidance provides that you can have between 1 to 10 performance elements, CNAP recommends between 4 and 7 performance elements.

(4) Communicate performance expectations and outcomes to employees by documenting and providing feedback to employees.

(5) Conduct at least three formal documented face-to-face discussions. The initial meeting to develop the performance plan, one mid-term progress review, and a final performance appraisal discussion. Additional performance discussions are highly encouraged throughout the appraisal cycle with a focus on enhanced employee engagement. Supervisors cannot establish performance standards for team performance, only individual performance.
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(6) Monitor employee performance and modify the performance plan when required (e.g., changes in mission, organizational goals and priorities or employee duties).

(7) Take action if performance declines or falls below the “Fully Successful” level.

(8) Prepare the rating of record with narrative justification for all element rating levels for discussion and final approval by the Higher Level Reviewer (HLR).

(9) Execute the performance management process within established DPMAP guidelines and timelines.

c. Higher Level Reviewing (HLR) authority roles:

(1) Support a performance-based culture and practice through effective management of individual and team performance.

(2) Ensure practices conform to policies and applicable negotiated agreements.

(3) Ensure RO’s carry out their performance management duties within DPMAP policies and deadlines.

(4) Review and approve performance plans developed.

(5) Review and approve performance ratings for consistency and fairness by applying performance standards.

(6) Review and approve ratings of record and performance decisions. Once the HLR approval is provided in the automated system of record the rating of record is final.

d. HLR specific site roles:

(1) CNAP Staff.

(a) The Assistant Chief of Staff (ACOS)/Special Assistant (SA) or Deputy ACOS/Deputy SA will serve as the HLR within her/his code.

(b) The assigned supervisor for the employee will serve as the RO. All civilian RO’s must be designated in their Position Description (PD) as a supervisor or manager in Block 11 of the OF-8 in order to serve as the RO.

(c) In the case of civilians serving as a Deputy ACOS/SA, the ACOS/SA will serve as both the Rating Official and HLR.
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(d) In the case of civilians serving as an ACOS/SA, the CNAF ED will serve as both the Rating Official and HLR.

(2) Subordinate Commands. Based on the command’s DCPDS supervisor hierarchy and subject to guidance of the Commander, it is recommended that the Commander, Deputy Commander, or a command designated senior level supervisor serve as the HLR.

e. **DPMAP Appraisal Cycle.** The normal appraisal cycle is 1 April through 31 March of each calendar year.

f. **Effective Date of Appraisal.** A rating of record is final when it is reviewed and approved by the HLR. A rating of record is finalized before 1 June to be effective 1 June.

g. **My Performance Appraisal Tool.**

(1) **DD Form 2906.** When supervisors or employees do not have access to the DPMAP electronic (on-line) MyPerformance Tool, they must use the paper copy DD Form 2906 to document the performance plan, progress review(s), and rating of record. When entering the information from DD Form 2906 in MyPerformance Tool is not possible, employee ratings of record and award amounts will be documented in DCPDS. Paper copy DD Form 2906 that are not documented in the MyPerformance Tool will be retained in the employee performance file.

(2) **DPMAP Trusted Agents.** Individuals designated as Trusted Agents may act on behalf of the RO or HLR for purposes of documenting performance management events and decisions. Assignment of a Trusted Agent does not alleviate the RO or HLR of performing their assigned duties.

h. **Reassignment, Reduction-in-Grade or Removal Based on Unacceptable Performance.** Consistent with the requirements of Section 432.105 of Title 5 CPR, employees who fail to demonstrate performance at the “Fully Successful” level may be reassigned, reduced in grade or removed from federal service.

i. **Supervisor Performance Elements.** Supervisor performance elements and standards must be equal to or greater than the non-supervisory elements and standards, but there is no impact to position classification. The purpose of this guidance is to ensure that 50% or greater of the final rating will be based on how well a supervisor performs their supervisory duties. This is consistent with the strong emphasis DPMAP places on supervisory responsibilities and employee engagement.
j. Recognizing and Rewarding Performance. DPMAP prescribes a continuous award and recognition process by either monetary or non-monetary actions. Further CNAP awards guidance is in development.

BRYAN SCURRY  
Executive Director
Documenting and Communicating Performance Standards

Effective performance planning is characterized by employee and supervisor engagement and, specifically, two-way ongoing communication about performance expectations and their relationship to organizational goals. Through the performance plan, supervisors document how an employee’s expected outcomes and results are linked to the organization’s goals and objectives, and how the employee’s performance will be measured during the appraisal cycle.

The performance plan includes the employee’s performance elements and standards for the appraisal cycle. Performance elements describe what an employee is expected to do (i.e., their assigned responsibilities) while standards describe how the employee’s duties are to be accomplished for evaluation at the particular performance level. Specifically, standards express how well an employee must perform to be evaluated as “Fully Successful” (Level 3). Standards may include, but are not limited to, quality, quantity, timeliness, cost effectiveness, and manner of performance. They shall conform to SMART (specific, measurable, achievable, relevant, and timely) criteria, but not all five elements may be feasible for every performance element.

To foster consistency across organizations and occupations, CNAP has established benchmark descriptors for each performance level under DPMAP. They are adapted from the performance benchmarks set forth in the DoD DPMAP Instruction and Toolkit. When developing performance plans, all supervisors may reference these benchmark descriptors or develop criteria that are more specific. If a standard is based on a numerical goal or numerical performance level, it must be defined in MyPerformance at the Fully Successful level.

Enterprise-wide performance elements and standards provide a framework to communicate priorities, establish accountability, and ensure consistency of elements/standards for like positions. Similarly, CNAP benchmark descriptors provide the common framework developed by DoD to consistently describe the three levels of performance under DPMAP. Employees may ask for clarification on any aspect of their performance plan. This should include but is not limited to requesting examples of performance, tailored to a particular performance element, that meet the CNAP “Fully Successful” benchmark descriptor. An ideal time for supervisors and employees to reach a common understanding of performance elements and standards (i.e., performance expectations and evaluation criteria), is the initial performance discussion at the start of the performance appraisal cycle.
CNAP BENCHMARK DESCRIPTIONS FOR RATING LEVELS 5, 3 AND 1

Rating Level 5 - Outstanding:
- Produces exceptional results and exceeds expectations well beyond specified outcomes.
- Quality and quantity of the employee’s work substantially exceeds the standard with minimal room for improvement.
- Far exceeds targeted metrics, for example in quality, budget, or quantity.
- Handles roadblocks exceptionally well.
- Is widely seen as an expert, valued role model or mentor for this work.
- Exhibits highest standards of professionalism.
- Accuracy, thoroughness, and timeliness of the employee’s work on this element are exceptionally reliable.
- Application of technical knowledge and skills goes well beyond that expected for the position.
- Consistently and significantly improves the work processes and products for which he or she is responsible.
- Work products rarely require even minor revisions.
- Employee seeks additional work or special assignments at increasing levels of difficulty.

Rating 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.
- Quality and quantity of the employee’s work fully meets the requirements of the performance element.
- Major revisions are normally not necessary; most work only requires minor revision.
- Projects are completed accurately, thoroughly, and in a timely manner.
- Technical skills and knowledge are applied effectively to specific job tasks.
- Adheres to procedures and format requirements.
- Routine problems associated with completing assignments are resolved with minimum supervision.

Rating 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, and/or misses targeted metrics (e.g., commitments, deadlines, and quality).
- Lacks or fails to use skills required for the job.
- Requires much more supervision than expected for an employee at this level.
- Quality, quantity, and timeliness of the work are unsatisfactory.
- Work products must be continually revised and edited; instructions must be reiterated.
- Unable to work reliably and independently without ongoing supervision.
- Projects are incomplete
- Fails to prioritize and apply routine knowledge.

Encl: (2)
DOD CORE VALUES, CNAP MISSION, AND SAMPLE SUPERVISOR ELEMENTS

DoD Core Values: Leadership, Professionalism, and Technical Knowledge through Dedication to Duty, Integrity, Ethics, Honor, Courage, Loyalty.

CNAP Mission: To support Combatant Commanders and Navy Component Commanders by providing combat-ready Naval Aviation Forces which are forward deployable, fully trained, properly manned, capably equipped, well maintained, and combat-sustainable.

Note: Each subordinate command must use their current mission statement within the on-line DPNAV form.

Supervisory performance elements for all GS-13 and above will include the following statement: Effectively develop and champion innovative ideas to improve the organization and create an environment that fosters innovation.

Supervisory Element Guidance. In developing supervisory performance elements and standards, it is important to consider the position of the supervisor (first line or above) and the preponderance of duties that the supervisor performs within that capacity. The below descriptions are samples to be considered for inclusion in developing 1-2 supervisory performance elements across a wide spectrum of supervisory duties. These are not intended to be used as bullets (and should not be constructed in that way), but rather are intended to offer a selection of SMART-tailorable performance elements and standards. As a for instance, a first line supervisor could select 1-2 responsibilities from Elements 1, 2, 3, 4 and 5 below to craft a single supervisory performance element. There is no intent or desire for a supervisor to be assessed across every one of these elements. Below provides a menu of Supervisor Elements.

Element 1: Leading People (Supervisory/Leadership)

First Line Supervisors:
In support of the CNAP mission statement:
Performance will be measured by supervisory observations on leadership effectiveness and the timely execution of quality culture action plans. Within supervisory span of control and throughout the performance cycle:
- Fosters an environment and organizational culture where employees are valued, resilient and high performing.
- Accomplishes strategic/operational goals within established metrics and timelines.
- Continuously improves organizational climate/culture through quality culture action plans;
executes plan within established timelines. - Leadership responsibilities include:
  - Inspiring, motivating and guiding others to accomplish strategic/operational goals.
  - Creating a climate of trust and mutual respect.
  - Adapting leadership style to various situations; displaying emotional intelligence through a variety of interpersonal skills; promptly resolving conflicts.
  - Communicating effectively and providing constructive feedback.
  - Working well with others, encouraging a participative approach to work.
  - Interacting regularly with staff.

Encl: (3)
- Making difficult decisions when necessary, even when unpopular.
- Leading by personal example, admitting errors, and being consistently viewed as objective and fair.
- Setting high professional standards for integrity, innovation, accountability, and excellence.

**Second Line and Above Supervisors:**
In support of the CNAP mission statement:
Performance will be measured by supervisory observations on leadership effectiveness and the timely execution of quality culture action plans. Within supervisory span of control and throughout the performance cycle:
- Fosters an environment and organizational culture where employees are valued, resilient and high performing.
- Accomplishes strategic/operational goals within established metrics and timelines.
- Continuously improves organizational climate/culture through quality culture action plans; executes plan within established timelines.
- Leadership responsibilities include:
  - Creating a climate of trust and mutual respect.
  - Adapting leadership style to various situations; displaying emotional intelligence through a variety of interpersonal skills; promptly resolving conflicts.
  - Communicating effectively and providing constructive feedback.
  - Listening to subordinate supervisors’ issues and concerns, aiding in problem solving, and coaching them to develop solutions.
  - Making difficult decisions when necessary, even when unpopular.
  - Leading by personal example, admitting errors, and being consistently viewed as objective and fair.
  - Setting high professional standards for integrity, innovation, accountability, and excellence.

**Element 2: Leading Teams (Supervisor/Leadership)**

**First Line Supervisors:**
In support of the CNAP mission statement:
Performance will be measured by supervisory observations on leadership effectiveness and the timely execution of quality culture action plans. Within supervisory span of control and throughout the performance cycle:
- Provide effective coordination and integration with customers and stakeholders results in the accomplishment of strategic/operational goals within established metrics and timelines.
Performance will be measured based on supervisor observations of coordination and integration, teamwork, customer and stakeholder feedback, and team contributions to organizational performance.
Leading Team responsibilities include:
- Ensuring a safe work environment.
- Fostering strong communication networks across all levels of the organization.
- Encouraging a participative approach to work, fostering cooperation, pride, dialogue, and trust to achieve organizational/agency goals.
- Helping teams adapt to change and deal effectively with pressure or ambiguous conditions, remaining optimistic, persistent, and resilient.
- Utilizing team members' diverse backgrounds, experiences, and perspectives to achieve high-performing teams.
- Ensuring effective communication across geographic, virtual or organizationally dispersed team members, if applicable.

**Second Line and Above Supervisors:**
In support of the CNAP mission statement:
Performance will be measured by supervisory observations on leadership effectiveness and the timely execution of quality culture action plans. Within supervisory span of control and throughout the performance cycle:
- Provide effective coordination and integration with customers and stakeholders results in the accomplishment of strategic/operational goals within established metrics and timelines.
Performance will be measured based on supervisor observations of coordination and integration, teamwork, customer and stakeholder feedback, and team contributions to organizational performance.
Leading Team responsibilities include:
- Ensuring a safe work environment.
- Establishing strong communication networks across all levels of the organization and agency.
- Encouraging a participative approach to work, fostering cooperation, pride, dialogue, and trust to achieve organizational/agency goals.
- Helping teams adapt to change and deal effectively with pressure or ambiguous conditions, remaining optimistic, persistent, and resilient.
- Utilizing team members' diverse backgrounds, experiences, and perspectives to achieve high-performing teams.
- Defining team/organizational goals and metrics in terms of success for the whole team.
- Ensuring effective communication across geographic, virtual or organizationally dispersed team members, if applicable.

**Element 3: Work Management (Supervisory/Leadership)**

**First Line Supervisors:**
In support of the CNAP mission statement:
Performance will be measured by supervisory observations on leadership effectiveness and the timely execution of quality culture action plans. Within supervisory span of control and throughout the performance cycle:
- Exercises human resources responsibilities fairly and transparently, in accordance with merit systems principles. Recruits, develops, and retains a high-performing, satisfied, and diverse workforce. Performance will be measured based on compliance with Equal Employment Opportunity (EEO) laws and regulations, merit systems principles, effective resources management, and supervisory observations on quality and timeliness of work.
Work Management responsibilities include:
- Responsibility for resources management planning, execution, and evaluation (i.e., financial management, technology management, human capital management) to accomplish organization's mission.
- Performing full range of human resources functions (recruitment, selection, onboarding, staffing, retention, etc.).
- Valuing diversity and complying with EEO laws and regulations.

**Second and Above Line Supervisors:**
In support of the CNAP mission statement:
Performance will be measured by supervisory observations on leadership effectiveness and the timely execution of quality culture action plans. Within supervisory span of control and throughout the performance cycle:
- Structures organizational work assignments with clear and realistic goals, distributes work of the organization fairly, and provides ongoing direction and feedback to achieve organizational goals within established timelines and metrics. Exercises human resources responsibilities fairly and transparently, in accordance with merit systems principles to recruit, develop, and retain a high-performing, satisfied, and diverse workforce. Performance will be measured based on compliance with Equal Employment Opportunity (EEO) laws and regulations, merit systems principles, effective resources management, and supervisory observations on quality and timeliness of work.
Work Management responsibilities include:
- Effectively managing resources including planning, execution, and evaluation (i.e., financial management, technology management, human capital management) to accomplish organization/agency missions.
- Performing full range of human resources functions (recruitment, selection, onboarding, staffing, retention, etc.).
- Valuing diversity and complying with EEO laws and regulations.

**Element 4: Performance Management (Supervisory/Leadership)**

**First Line Supervisors:**
In support of the CNAP mission statement:
Performance will be measured by supervisory observations on leadership effectiveness and the timely execution of quality culture action plans. Within supervisory span of control and throughout the performance cycle:
- Completes performance management responsibilities in accordance with DOD 1400.25, Vol 431 and any applicable bargaining unit agreement. Complies with Defense Performance Management and Appraisal Program procedures and timelines. Recognizes employee performance. Performance will be measured through supervisory observations of adherence to procedures and timelines, and appropriateness of informal and formal employee recognition (utilizing various award tools) throughout the performance cycle.
Performance management responsibilities include:
- Aligning subordinates' performance plans with the organization's missions and goals.
- Establishing and communicating performance standards and explaining all aspects of the performance appraisal process.
- Observing, monitoring, and guiding staff; providing timely and constructive feedback throughout the performance cycle.
- Scheduling, preparing, conducting, and documenting required performance discussions in MyPerformance.
- Continuously recognizing good performance and taking steps to correct poor performance.
- Appraising performance against clearly defined performance standards.
- Coaching, mentoring, and providing staff development opportunities; ensuring assigned training is accomplished within established timelines.

**Second Line and Above Supervisors:**
In support of the CNAP mission statement:
Performance will be measured by supervisory observations on leadership effectiveness and the timely execution of quality culture action plans. Within supervisory span of control and throughout the performance cycle:
- Completes performance management responsibilities in accordance with DOD 1400.25, Vol 431 and any applicable bargaining unit agreement. Performance will be measured based on compliance with procedures and timelines established under the Defense Performance Management and Appraisal Program. Recognizes subordinate supervisors and staff. Supervisory observations include quality, timeliness, and appropriateness of informal and formal recognition (utilizing various award tools) throughout the performance cycle.
- Ensuring subordinates' performance plans are aligned with the organization/agency missions and goals.
- Approving and communicating performance standards and explaining all aspects of the performance appraisal process; serving as Higher Level Reviewer if required.
- Observing, monitoring, and guiding staff; providing timely and constructive feedback
- Scheduling, preparing, conducting, and documenting required performance discussions in MyPerformance.
- Continuously recognizing good performance and taking steps to correct poor performance.
- Appraising performance against clearly defined performance standards
- Coaching, mentoring, and providing staff development opportunities; ensuring assigned training is accomplished within established timelines.

**Element 5: Mission Elements Results – Compliance, Quantity and Quality**
In support of the CNAP mission statement:
Performance will be measured by supervisory observations on leadership effectiveness and the timely execution of quality culture action plans. Within supervisory span of control and throughout the performance cycle:
Standard Performance Element: Throughout the performance cycle leads assigned workforce to complete assigned work in accordance with established standards and/or local operating procedures for the area of operation. Assigned workforce accomplishes work within the required timeframe and achieves the established rate of production and/or measures of quality.
Performance is measured based on management observation, discrepancy reports, customer feedback and/or supporting production data, QA checks, and audits.
Fully Successful (3) - Assigned employees collectively meet the compliance, production and quality standards for the assigned area of operation.
Outstanding (5) - Meets the fully successful standard AND demonstrates the ability to anticipate problems and communicates same to management, offers ideas and potential solutions, and actively works with others to solve problems. Demonstrates subject matter expertise, knowledge and understanding of problem solving. Visibly involves assigned employees in the problem solving process. Actively engages in cross-organization problem identification and readily works with others to solve problems.
Unacceptable (1) - Does not meet expectations.

**Element 6: Audit Sustainment (Technical)**

In support of the CNAP mission statement:
Performance will be measured by supervisory observations on leadership effectiveness and the timely execution of quality culture action plans. Within supervisory span of control and throughout the performance cycle:
- Supervisors who directly support audit sustainment:

Standard Performance Element: During the performance period, ensures your employees understand how audit sustainment affects their jobs. Ensure clear documentation and up-to-date procedures are in place that comply with laws, regulations, and policies for the functions they perform. Measure and provide effective oversight to ensure employees understand and adhere to prescribed procedures. Ensure audit sustainment evidential matter is stored in the correct storage location.

Additional audit sustainment technical performance elements relevant to the individual supervisor and his/her organization may be added when appropriate.

**Element 7: Protection of Classified Information (Technical)**

In support of the CNAP mission statement:
Performance will be measured by supervisory observations on leadership effectiveness and the timely execution of quality culture action plans. Within supervisory span of control and throughout the performance cycle:
- Supervisors who protect or have access to classified information:

Standard Performance Element: Exhibits individual and personal accountability for classified information under their custody and control. Takes precautions to ensure unauthorized persons do not gain access to classified information through proper marking, transmission, and safeguarding. Reports unauthorized disclosures, security incidents, violations, and vulnerabilities to the appropriate management official and/or security official. Completes initial/annual refresher security awareness training, initial/biennial derivative classifier training and other related security training as required.

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Encl: (3)
USER GUIDES FOR EMPLOYEES AND RATING OFFICIALS (EMBEDDED FILES)

Employee DPMAP Guide:

RO DPMAP Guide:

Encl: (4)