



DEPARTMENT OF THE NAVY  
BUREAU OF MEDICINE AND SURGERY  
7700 ARLINGTON BOULEVARD  
FALLS CHURCH VA 22042

IN REPLY REFER TO  
BUMEDINST 12430.6  
BUMED-M1  
3 May 2019

BUMED INSTRUCTION 12430.6

From: Chief, Bureau of Medicine and Surgery

Subj: DEPARTMENT OF DEFENSE PERFORMANCE MANAGEMENT AND APPRAISAL PROGRAM

Ref: (a) 5 U.S.C.  
(b) 5 CFR 430  
(c) DoD Instruction 1400.25, Volume 431, DoD Civilian Personnel Management System: Performance Management and Appraisal Program, 4 February 2016

Encl: (1) Performance Plan Requirements  
(2) Supervisory Critical Elements  
(3) Performance Period Timeline  
(4) Sample - Appointment Letter for Trusted Agent

1. Purpose. To provide implementation and guidance throughout Navy Medicine on the Department of Defense (DoD) Performance Management and Appraisal Program (DPMAP), otherwise referred to as New Beginnings, as outlined in references (a) sections 43 and 9902 through (c) and documented through enclosures (1) through (4).

2. Cancellation. BUMEDINST 12430.5.

3. Scope and Applicability. This instruction applies to all civil service employees at budget submitting office 18 commands beginning 1 April 2018.

4. Background. Per reference (a), sections 43 and 9902 and reference (b), DoD received Office of Personnel Management approval for the development of a new performance management program, described in reference (c). The National Defense Authorization Act for Fiscal Year 2010 required the DoD to develop an enterprise-wide performance management system. Reference (c) is the system developed in response to the National Defense Authorization Act for Fiscal Year 2010, which requires all positions within Navy Medicine to transition from their current performance appraisal systems to DPMAP.

5. Policy. Navy Medicine will maintain a civilian performance management process that evaluates employee performance, fosters communication between supervisor and employee, and encourages continual feedback to enhance individual and organizational effectiveness. In addition, the process will help encourage and facilitate employee development. DPMAP is a three-tiered rating system. The possible ratings are outstanding (numerical score of 5); fully successful (numerical score of 3); and unacceptable (numerical score of 1).

6. Roles and Responsibilities

a. Commanding Officers and Activity Heads must:

- (1) Implement DPMAP per this instruction;
- (2) Ensure supervisors and employees in their organization complete performance management training as outlined in paragraph 7 in this instruction;
- (3) Respond to Department of the Navy (DON) and Navy Medicine assessments, recommendations, and required actions within required timeframes;
- (4) Initiate the annual evaluation process cycle, the progress review, and the final performance appraisal;
- (5) Monitor and receive notifications of completion of progress and final performance appraisals; and
- (6) Maintain a copy of the completed DD Form 2906 Department of Defense Civilian Performance Plan, Progress Review and Appraisal, electronically or physically, and managed per paragraph 8 of this instruction.

b. Higher Level Review (HLR) Officials must:

- (1) Ensure all civilian employees' position descriptions are current;
- (2) Review and sign the critical elements and individual development plan (IDP); and
- (3) Review and sign the final evaluations.

c. Rating Officials must:

- (1) Develop, with opportunity for consultation from the employee, and approve a written performance plan for each employee;
- (2) Provide employees with a copy of their performance plan within 30 days of the beginning of the performance period;
- (3) Ensure all their subordinate employees have critical elements and an IDP established at the beginning of the evaluation cycle;

(4) Provide continuous feedback to an employee throughout the performance period. Provide at least three formal performance discussions; the initial performance meeting to discuss performance expectations, one progress review, and final evaluation discussion;

(5) Recognize employees for their accomplishments throughout the evaluation year;

(6) Identify and document unacceptable performance;

(7) Request training, as appropriate and needed, for employees per the IDPs;

(8) Ensure employees are provided an opportunity to complete their self-assessment for the final evaluation;

(9) Contact the Bureau of Medicine and Surgery (BUMED) Human Resource Office (HRO) anytime during the performance period if there are questions; and

(10) Ensure the performance schedule is met.

d. Employees must:

(1) Perform work as assigned;

(2) Participate in the development of their critical elements and IDP;

(3) Participate in the formal progress and final evaluation discussions with their supervisor; and

(4) Sign and provide feedback, to include their self-assessment, during the progress and final evaluation.

e. Servicing HROs must:

(1) Advise managers on performance related questions and issues; and

(2) Coordinate with the human resource department for the submission of annual performance ratings to DON Office of Civilian Human Resources or upload into the Defense Civilian Personnel Data System (DCPDS).

f. Trusted Agents must:

(1) Be a member of management;

(2) Serve as delegated, assigned authority from the rating official and HLRs, in writing utilizing enclosure (4), to act on their behalf in the MyPerformance Tool. The sole purpose of the trusted agent is to document the manager's decisions in the employee's record; and

(3) Normally be assigned only to those positions that serve as a direct assistant to the commanding officer, executive officer, or equivalent.

7. Training Requirements. All Navy Medicine employees, rating officials, and HLRs are required to complete one of the following courses to assist in executing program responsibilities:

a. Online on Swank Learning Management System: DoD Performance Management and Appraisal System-DPMAP-Performance Management Overview (course number NMETC-16-DoDPMAP-PERF MGT-1.0). Available at <https://navy.reliashealth.com/>; or

b. In person training provided by the BUMED HRO.

8. Records Management

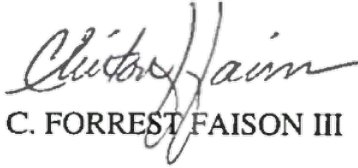
a. Records created as a result of this instruction regardless of format or media, must be maintained and dispositioned for the standard subject identification codes (SSIC) 1000 through 13000 series per the records disposition schedules located on the Department of the Navy/Assistant for Administration (DON/AA), Directives and Records Management Division (DRMD) portal page at <https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx>.

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact your local records manager or the DON/AA DRMD program office.

9. Review and Effective Date. Per OPNAVINST 5215.17A, Manpower and Personnel (BUMED-M1) will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, DoD, Secretary of the Navy, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9; otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.

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10. Form. DD Form 2906 Department of Defense Civilian Performance Plan is available at <http://www.esd.whs.mil/Portals/54/Documents/DD/forms/dd/dd2906.pdf>.

  
C. FORREST FAISON III

Releasability and distribution:

This instruction is cleared for public release and is available electronically only via the Navy Medicine Web site, <http://www.med.navy.mil/directives/Pages/BUMEDInstructions.aspx>

## PERFORMANCE PLAN REQUIREMENTS

The appraisal cycle for employees, runs annually from April 1 through March 31.

### 1. Initial Performance Plan

- a. Per reference (c), each employee must have an approved written performance plan normally within 30 calendar days of the beginning of the appraisal cycle or the employee's assignment to a new position or set of duties.
- b. Plans will normally have a total of four critical elements. Each critical element must have associated performance standards that define expectations. Activities should strive to have equal number of critical elements for all civilian employees.
- c. The number of supervisory performance elements on performance plans for supervisors will equal or exceed the number of non-supervisory (technical) performance elements.
- d. A standard supervisory critical element will be established at the command level to standardize supervisory requirements. A highly suggested supervisory critical element(s) for supervisors is found in enclosure (2).
- e. The requirement for the number of supervisory performance elements to equal or exceed the number of non-supervisory elements does not apply to employees coded as Supervisor Civil Service Reform Act (CSRA) code "4" in DCPDS. In such situations where an employee is a supervisor, but is correctly annotated as CSRA Code 4 in DCPDS, it is highly encouraged that at least one Critical Element discuss supervisory expectations. A suggested critical element can be found in enclosure (2).
- f. Performance plans will be established utilizing the MyPerformance appraisal tool. When a rating official or employee does not have access to the electronic MyPerformance appraisal tool, they must contact their hierarchy manager.
- g. The performance plan will clearly document for each employee how the expected outcomes and results are linked to the organization's goals and objectives and how his or her performance will be measured throughout the appraisal cycle. The performance plan includes the employee's performance elements and performance standards for the appraisal cycle. Changes to mission, organizational goals, work unit priorities, or assigned duties that occur during the appraisal cycle may necessitate revisions to the performance plan.
- h. Performance standards describe how the requirements and expectations provided in the performance elements are to be evaluated. Performance standards must be written at the "Fully Successful" level. The standards should be written utilizing the specific, measurable, achievable, relevant, and timely criteria.

- i. The HLR will be sent the performance plan to review prior to completion.
- j. Rating officials must meet with their employee within 30 days of setting the performance plan to discuss the contents. This meeting must be documented on the plan.

## 2. Progress Review

- a. Minimally, one progress review is required, normally at the midpoint of the performance cycle. The discussions may consist of verbal feedback sessions, regular one-on-one meetings, or impromptu recognition or acknowledgement of performance.
- b. While only one progress review is required, rating officials and employees are highly encouraged to initiate discussions at any time during the appraisal cycle to foster ongoing engagement and understanding.
- c. The performance discussions must be initiated by the rating official and documented in the MyPerformance appraisal tool.
- d. Employees do not have to be given a performance narrative or performance element ratings on progress reviews.

## 3. Annual Appraisal

- a. An annual appraisal must be conducted for each employee at the end of the performance period.
- b. The rating official will evaluate employee performance by assessing performance against the elements and standards and assigning a rating of record based on work performed during the appraisal cycle.
- c. The DPMAP performance system uses a three level rating pattern. The only possible ratings of record are: Level 5-Outstanding; Level 3-Fully Successful; and Level 1-Unacceptable.
- d. Employees may provide written input about their performance accomplishments for supervisors to consider in evaluating each of the performance elements and overall performance accomplishments.
- e. Rating officials will write a performance narrative that succinctly addresses the employee's performance measured against the performance standards for the appraisal cycle.
- f. The performance narrative justifies how an employee's ratings are determined and provides support for recognition and reward.

g. Performance narratives by the rating official are required for each critical element.

h. The performance rating assigned should reflect the level of employee's performance as compared to the standards established. The following are guidelines for performance rating levels:

Level 5-Outstanding	<p>(1) Contributed to results beyond what was expected; results were far superior in quality, quantity, or impact to the stated objective to what would be expected at this level.</p> <p>(2) Exhibited the highest standards of professionalism.</p> <p>(3) Met and exceeded all criteria discussed at the Level 3-Fully Successful rating level.</p>
Level 3-Fully Successful	<p>(1) Effectively achieved the stated objective, anticipating and overcoming significant obstacles. Adapts established methods and procedures when needed.</p> <p>(2) Results were technically sound, accurate, thorough, documented, and met applicable authorities, standards, policies, procedures, and guidelines.</p> <p>(3) Planned, organized, prioritized, and scheduled own work activities to deliver the objective in a timely and effective manner, making adjustments to respond to changing situations, and anticipating and overcoming difficult obstacles as necessary.</p> <p>(4) Demonstrated high standards of personal and professional conduct, and represented the organization or work unit effectively.</p>
Level 1-Unacceptable	<p>(1) Does not meet expectations for quality of work; fails to meet many of the required results for the goal.</p> <p>(2) Unreliable; makes poor decisions; misses targeted metrics.</p> <p>(3) Lacks or fails to use skills required for the job.</p> <p>(4) Requires much more supervision than expected for an employee at this level.</p>



i. The rating official will assign an individual performance rating (either a 5, 3, or 1) for each critical element. All performance elements are averaged to calculate the overall rating of record, which is defined in the chart:

Overall Rating Level	Rating Criteria
Level 5-Outstanding	The average score of all critical element performance ratings is 4.3 or greater with no critical element being rated a "1," resulting in a rating of record that is a "5"
Level 3-Fully Successful	The average score of all critical element performance ratings is less than 4.3 with no critical element being rated a "1," resulting in a rating of record that is a "3"
Level 1-Unacceptable	Any critical element rated as "1"

j. The rating official's recommended performance ratings are subject to review and approval of the HLR.

k. To receive a rating of record, an employee must have a minimum of 90 calendar days under an approved performance plan in the same position. If necessary, an employee's rating period may be extended by the rating official, with approval from the HLR, to beyond the end of the rating period to ensure the minimum 90-day period is met, as long as the extension does not interfere with the ability to manage any part of the rating and rewarding process for the employee's organization. This approval should only be given after the BUMED HRO is consulted.

4 Grievances and Appeals. Employees may seek reconsideration of issues related to the performance appraisal process (e.g., individual performance element ratings and ratings of record) through the administrative grievance system or where applicable, the negotiated grievance procedures. Employees may not challenge contents (e.g., performance elements or standards) of an employee's performance plan or decisions to grant or not grant a performance award or quality step increase through the administrative grievance system, or where applicable, negotiated grievance procedures.

## SUPERVISORY CRITICAL ELEMENTS

The number of supervisory performance elements on performance plans for supervisors will equal or exceed the number of non-supervisory (technical) performance elements. The following standard elements are provided as options for two and three supervisory elements:

### 1. Two Supervisory Elements

#### a. Performs all supervisory duties to include:

(1) Ensures compliance with applicable laws, regulations, and policies including merit system principles and prohibited personnel practices;

(2) Attracts and retains a high-caliber workforce and acts in a responsible and timely manner on all steps in the recruitment and hiring process;

(3) Provides opportunities for orientation and tools for enabling employees to successfully perform during the probationary period and beyond;

(4) Identifies current and future position requirements to ensure recruitment is appropriately focused and is timely; and

(5) Completes all performance management tasks in a timely manner including clearly communicating performance expectations throughout the appraisal period, holding employees accountable, making meaningful distinctions in performance and rewarding excellent performance, promoting employee development and training, and promptly addressing performance and conduct issues.

b. Leads an aligned, engaged, and high performing team. Creates a positive, safe work environment that allows employees to excel. Upholds high standards of integrity and ethical behavior. Ensures that equal employment opportunity (EEO) principles are adhered to throughout the organization and promptly addresses allegations of discrimination, harassment, and retaliation. Acts as a good steward of public funds. Maintains a safe work environment and promptly address allegations of noncompliance. Effectively develops and champions innovative ideas to improve the organization and create an environment that fosters innovation.

### 2. Three Supervisory Elements

#### a. Performs all supervisory duties to include:

(1) Ensures compliance with applicable laws, regulations, and policies including merit system principles and prohibited personnel practices;

(2) Attracts and retains a high-caliber workforce and acts in a responsible and timely manner on all steps in the recruitment and hiring process;

(3) Provides opportunities for orientation and tools for enabling employees to successfully perform during the probationary period and beyond;

(4) Identifies current and future position requirements to ensure recruitment is appropriately focused and is timely; and

(5) Completes all performance management tasks in a timely manner including clearly communication performance expectations throughout the appraisal period, holding employees accountable, making meaningful distinctions in performance and rewarding excellent performance, promoting employee development and training, and promptly addressing performance and conduct issues.

b. Leads an aligned, engaged, and high performing team. Creates a positive, safe work environment that allows employees to excel. Upholds high standards of integrity and ethical behavior. Ensures that EEO principles are adhered to throughout the organization and promptly addresses allegations of discrimination, harassment, and retaliation. Acts as a good steward of public funds. Maintains a safe work environment and promptly address allegations of noncompliance. Effectively develop and champion innovative ideas to improve the organization and create an environment that fosters innovation.

c. (Example - supervision of portfolio management) Successfully supervises portfolio of assigned programs. Program(s) are supervised effectively with goals of maintaining, if not improving their health and increasing customer usage and engagement. The DON's interests in the program(s) are represented personally and/or through coordination with other agencies or parties. Measures of accomplishment include but are not limited to development of viable plans of action, completion of milestones, improvements to the program(s) over time, increased use or understanding of the program(s) by the DON customer or effectiveness in representing the DON's position on matters related to the program.

3. For Supervisors (CSRA) Code 4 in DCPDS. Manages an aligned, engaged, and high-performing team through leading by example and developing and executing a mission-aligned vision for the organization. Performs all supervisory duties to include:

a. Ensures compliance with applicable laws, regulations, and policies including merit system principles and prohibited personnel practices (section 2301 of Title 5, U.S. Code);

b. Effectively attracts and retains a high-caliber workforce and acts in a responsible and timely manner on all steps in the recruitment and hiring process;

- c. Provides opportunities for orientation and tools for enabling employees to successfully perform during the probationary period and beyond;
- d. Identifies current and future position requirements to ensure that recruitment is appropriately focused and timely;
- e. Completes all performance management tasks throughout the appraisal period, holds employees accountable, makes meaningful distinctions in performance and regarding excellent performance, promotes employee development and training, and promptly addresses performance and conduct issues;
- f. Acts as a good steward of public funds;
- g. Maintains a safe work environment and promptly addresses allegations of noncompliance;
- h. Ensures that EEO principles are adhered to throughout the organization and promptly addresses allegations of discrimination, harassment, and retaliation;
- i. Effectively develops and champions innovative ideas to improve the organization and creates an environment that fosters innovation.

PERFORMANCE PERIOD TIMELINE

There are many steps involved in the annual appraisal process. This table shows the timeline when the events should be completed. The performance period is from 1 April to 31 March.

DATE	ACTION	PARTIES
1 April	Performance cycle begins	
30 April	Written, approved performance plan is completed and discussed with employee	Rating Official and Employee
31 October	Formal progress review completed	Rating Official and Employee
31 March	Performance cycle ends	
15 April	Employee deadline to submit self-assessment	Employee
30 April	Rating Official deadline to consider self-assessment and prepare written assessment of employee performance and contribution to mission	Rating Official
1 June	Rating of record finalized	HLR

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3 May 2019

SAMPLE - APPOINTMENT LETTER FOR TRUSTED AGENT  
(Command Letterhead)

12430  
CODE  
DD Mon YY

From: Commanding Officer, [Command Title]

To: Name, Directorate, Command

Subj: APPOINTMENT AS A TRUSTED AGENT

Ref: (a) DoD Instruction 1400.25, Volume 431, DoD Civilian Personnel Management  
System: Performance Management and Appraisal Program, 4 February 2016

(b) 18 U.S.C. §1905

(c) 5 U.S.C. §552a

1. Per reference (a), you are appointed to act as my “trusted agent” in the MyPerformance tool in MyBiz.
2. You are to hold and maintain all information you gain access to in strictest confidence. You cannot use the information you will receive access to for your own or other’s benefit, nor can you publish, copy, or otherwise disclose to others, or permit the use by others, for their benefit or detriment without prior written approval from me. You will maintain any and all information obtained in your capacity as a “trusted agent,” whether or not in written form, in confidence and will not disclose, disseminate, or use the information for any purpose other than that expressly granted by the agency. You are held accountable to the disclosure standards as outlined in references (b) and (c) and are subject to criminal and civil penalties if you violate these standards.
3. Before beginning your task as a trusted agent, you must go to <https://www.cpms.osd.mil/Subpage/NewBeginnings/DPMAP/> and review the “Trusted Agent User Guide.”
4. Your appointment is effective immediately and will remain in effect until reassignment from your current position or until this appointment is cancelled in writing, whichever occurs first.

[Commanding Officer or authorized official]

Copy to:  
Human Resource Office

Enclosure (4)