



DEPARTMENT OF DEFENSE
EDUCATION ACTIVITY
4040 NORTH FAIRFAX DRIVE
ARLINGTON, VIRGINIA 22203-1635

July 3, 2001

Office of the Deputy Director
DDESS/CUBA

DoDEA Regulation 3000.1

Department of Defense Domestic Dependent Elementary and Secondary Schools
Performance Appraisal Program for Teachers and
Other Professional Bargaining Unit Members

- References: (a) DoDEA Regulation 3000.1, "Department of Defense Domestic Dependent Elementary and Secondary Schools Performance Appraisal Program for Teachers and other Professional Bargaining Unit Members," December 27, 2000 (hereby cancelled)
(b) DoD Administrative Instruction No. 63, "Performance Management System (PMS) for General Schedule and Wage System Employees," September 8, 1987, with changes 1-4
(c) Collective Bargaining Agreement between DDESS and FEA-SR
(d) 5 C.F.R. Part 430
(e) DoD 1400.25M, CPM Subchapter 430, Appendix A

1. REISSUANCE AND PURPOSE

This Regulation reissues reference (a) and establishes a single program for evaluating the performance of teachers and other professional bargaining unit members employed within the Department of Defense Domestic Dependent Elementary and Secondary Schools (DDESS) school districts. The primary objective of the teacher performance appraisal program shall be the improvement of instruction. The primary objective of the evaluation of other professional unit employees shall be the improvement of the services which are provided by the unit employees and which are designed to enhance and complement the educational process. The performance evaluation program contained herein complies with the DoD Performance Appraisal System, other applicable DoD policies and procedures, 5 U.S.C. Chapter 43, 5 C.F.R. Part 430, and other applicable laws and regulations.

2. APPLICABILITY

2.1. This Regulation applies to the Department of Defense Education Activity (DoDEA) permanent and temporary classroom teachers and other professionals



represented by the Federal Education Association-Stateside Region, employed within the DDESS school districts for 90 or more consecutive calendar days in a rating cycle.

2.2. The following DDESS employees are exempt from coverage by this Regulation:

2.2.1. All professional employees of the Antilles Consolidated School System (ACSS) in Puerto Rico.

2.2.2. All DDESS professional employees who are employed for less than ninety (90) calendar days in a rating period.

3. DEFINITIONS

Definitions are at Enclosure (1).

4. POLICY

4.1. It is the policy of the DoDEA to fairly and equitably appraise the performance of all teachers and other professional unit employees on an annual basis. The performance appraisal program provides management with a process to improve individual and organizational effectiveness and accomplish its mission and goals by providing a means to:

4.1.1. Plan, direct, evaluate, and improve employees' work.

4.1.2. Identify individual accountability.

4.1.3. Permit employee participation in developing appraisal plan requirements.

4.1.4. Communicate appraisal plan requirements.

4.1.5. Effect probationary actions.

4.1.6. Effect performance-based actions.

5. RESPONSIBILITIES

5.1. Superintendents of DDESS School Districts shall:

5.1.1. Issue guidance and organizational requirements.

5.1.2. Within 45 days after the end of the appraisal period, submit completed performance appraisal plans to the servicing personnel office by transmittal

letter, which includes employees' names, social security numbers, and performance ratings.

5.1.3. Provide training and/or orientation to covered employees, supervisors, and other staff officials, as appropriate.

5.1.4. Act as the second-level reviewer when required.

5.2. Second-level supervisors (Reviewers) shall:

5.2.1. Review, approve or disapprove, and/or modify covered employees' performance plans at the beginning of the appraisal period, and at any time that substantive changes are made to the plan.

5.2.2. Review and provide final approval of ratings of record.

5.3. First-level supervisors (Appraisers) shall:

5.3.1. Develop a performance appraisal plan with each covered employee.

5.3.2. Ensure employees understand and are involved in the development of their performance plans.

5.3.3. Provide each employee a copy of his or her written performance plan within 30 calendar days after the beginning of the employee's appraisal period, or each detail or temporary promotion expected to last longer than 90 days.

5.3.4. Conduct progress reviews as necessary, but not less than once per rating cycle.

5.3.5. Propose final ratings of records.

5.3.6. Provide each covered employee a copy of the final approved rating of record no later than 30 calendar days after the end of the employee's appraisal period.

5.3.7. Provide each covered employee a copy of the rated performance plan covering duties of the detail or temporary promotion no later than 30 calendar days after the completion of each detail or temporary promotion which exceeds 90 days.

5.3.8. Provide the rated performance plan, covering the duties of a detail or temporary promotion to the "permanent supervisor" of an employee who completed a detail or temporary promotion which exceeded 90 consecutive calendar days. Such rated performance plan(s) will be considered when the appraiser proposes the annual rating of the entire rating period.

letter, which includes employees' names, social security numbers, and performance ratings.

5.1.3. Provide training and/or orientation to covered employees, supervisors, and other staff officials, as appropriate.

5.1.4. Act as the second-level reviewer when required.

5.2. Second-level supervisors (Reviewers) shall:

5.2.1. Review, approve or disapprove, and/or modify covered employees' performance plans at the beginning of the appraisal period, and at any time that substantive changes are made to the plan.

5.2.2. Review and provide final approval of ratings of record.

5.3. First-level supervisors (Appraisers) shall:

5.3.1. Develop a performance appraisal plan with each covered employee.

5.3.2. Ensure employees understand and are involved in the development of their performance plans.

5.3.3. Provide each employee a copy of his or her written performance plan within 30 calendar days after the beginning of the employee's appraisal period, or each detail or temporary promotion expected to last longer than 90 days.

5.3.4. Conduct progress reviews as necessary, but not less than once per rating cycle.

5.3.5. Propose final ratings of records.

5.3.6. Provide each covered employee a copy of the final approved rating of record no later than 30 calendar days after the end of the employee's appraisal period.

5.3.7. Provide each covered employee a copy of the rated performance plan covering duties of the detail or temporary promotion no later than 30 calendar days after the completion of each detail or temporary promotion which exceeds 90 days.

5.3.8. Provide the rated performance plan, covering the duties of a detail or temporary promotion to the "permanent supervisor" of an employee who completed a detail or temporary promotion which exceeded 90 consecutive calendar days. Such rated performance plan(s) will be considered when the appraiser proposes the annual rating of the entire rating period.

5.3.9. Provide assistance to employees who receive ratings of record that are below the "Fully Successful" level.

5.3.10. Initiate corrective action, which may include, but is not limited to, formal on-the-job-training, counseling, and closer supervision, as appropriate, when an employee's performance falls below the "Fully Successful" level on any element of the performance plan.

5.4. Covered employees shall:

5.4.1. Participate in the development of their performance plans.

5.4.2. Participate in progress reviews and evaluation sessions.

6. PROCEDURES

6.1. Performance Appraisal Plan:

6.1.1. Individual performance appraisal plans shall be in writing and must include, at a minimum, the mandatory critical and non-critical elements and standards as annotated on the appraisal forms at Enclosure (3). Performance standards must be based on employee work assignments and responsibilities.

6.1.2. Employee participation is required in establishing performance appraisal plans. This may be accomplished by means including, but not limited to, those cited below:

6.1.2.1. Employee and supervisor discuss and develop the performance plan together.

6.1.2.2. Employee comments on draft performance plan prepared by the employee's appraiser.

6.1.3. Final authority for establishing such plans rests with the supervising officials.

6.1.4. Performance plans shall be reviewed and approved at the beginning of the appraisal period by the reviewer.

6.1.5. Employees will be provided copies of their approved written performance plans within 30 calendar days after the beginning of their appraisal period each year.

6.1.6. If a position is not covered by the elements and standards in Enclosure (3), the supervisor and employee will jointly develop an appropriate performance appraisal plan. The performance plan must contain at least one critical

element. (Bargaining obligations as described in Article 15 of the collective bargaining agreement between DDESS and FEA-SR (reference (c) will be accomplished prior to implementation.)

6.2. Appraisal Period:

The appraisal period begins on the first duty day of the school year and ends on the last duty day of the school year. To receive a rating of record, an employee must have served for a minimum period of 90 consecutive calendar days during that rating period under an approved performance appraisal plan.

6.3. Progress Reviews shall be conducted as follows:

6.3.1. A progress review shall be conducted with the individual at least once midway through the appraisal period. If an employee has been under an approved performance plan for less than 120 calendar days, a progress review is not necessary. Employees shall be informed of their levels of performance by comparison to the performance criteria in their performance plans.

6.3.2. To the maximum extent possible, progress reviews shall be informative and developmental in nature and may focus on improvement of future performance.

6.3.3. Additional progress reviews may be conducted as determined by supervisory officials.

6.4. Summary Rating:

6.4.1. Ratings will be based on a comparison of performance against performance standards. Ratings cannot be based upon assumed performance nor can they be based by carrying over a rating of record from a previous appraisal period without an actual evaluation of the employee's performance during the current appraisal period.

6.4.2. A rating is completed on each element of the performance plan, where applicable.

6.4.3. Each performance element is initially rated at one of the levels described in Enclosure (2). The element ratings are then converted to a summary rating using the process described in Enclosure (2) and annotated on the DDESS Performance Appraisal Form, Enclosure (3). The appraisal program uses the following summary ratings: "Fully Successful," and "Unacceptable."

6.5. Special Circumstances:

6.5.1. When an employee is detailed or temporarily promoted to duties outside his or her "regular" position for more than 90 days, the following applies:

6.5.1.1. Within 30 calendar days, the supervisor of the "temporary" position will prepare and present to the employee a performance plan covering the temporary position's elements and performance standards.

6.5.1.2. Within 30 calendar days after an employee completes a detail, the supervisor of the "temporary" position will complete and present to the employee a rated performance plan covering the employee's performance while on the "temporary" assignment. The evaluation does not require assignment of a summary rating. Since this type of performance rating is prepared prior to the end of the appraisal period, it does not constitute a rating of record.

6.5.2. When an employee transfers into or from a DDESS position, the following applies:

6.5.2.1. When an employee transfers into a DDESS position from another Federal position, the employee's DDESS appraiser shall consider any appraisal from the former activity which reflects performance during the current DDESS appraisal period when preparing the employee's annual rating of record. The appraiser must determine the weight or worth the former activity's performance rating merits.

6.5.2.2. When a DDESS employee transfers out of DDESS and has been covered by an employee performance plan at least 90 consecutive calendar days during the current appraisal period, the employee's appraiser shall submit to the employee a rated performance plan which covers the time served during the current appraisal period.

6.5.2.2.1. To the extent possible, a copy of the rated performance plan should be presented to the employee prior to departure; the original should be forwarded as expeditiously as possible to the personnel office.

6.5.2.2.2. Because this type of performance rating is prepared prior to the end of the appraisal period, it does not constitute a rating of record.

Note: The personnel office will forward the employee's last three ratings of record and the rated performance plan described above with the Official Personnel Folder to the gaining personnel office when the employee transfers out of DDESS.

6.5.3. Although appraisal periods generally cover a school year, when work assignments and responsibilities so warrant, or performance management objectives can be achieved more effectively, the appraisal period may be extended.

6.6. "Unacceptable" performance:

6.6.1. Any time during the appraisal period an employee's performance becomes "Unacceptable" in one or more critical elements of the appraisal plan, the

appraiser will initiate appropriate corrective action designed to assist the employee to improve performance to the "Fully Successful" level.

6.6.1.1 The employee's appraiser will inform the employee in writing of the specific performance deficiency, what critical element(s) are affected, and the length of a reasonable performance improvement period (PIP) during which the employee must demonstrate "Fully Successful" performance.

6.6.1.2. The length of the PIP may vary depending on the nature of the duties and responsibilities of the position and the performance deficiencies involved. In no case will a PIP be less than 30 calendar days.

6.6.1.3. During the PIP, the supervisor will provide encouragement to the employee whose performance is unacceptable, and afford them training and assistance, as appropriate, in order to achieve "Fully Successful" performance.

6.6.1.4. An "Unacceptable" rating will not be proposed by the appraiser until after the appraiser has:

6.6.1.4.1. Provided the employee the written record of deficient performance.

6.6.1.4.2. Provided the assistance described above.

6.6.1.4.3. Provided the employee sufficient opportunity to improve the deficient performance to the "Fully Successful" level.

6.6.2. If the employee's performance has not improved to the "Fully Successful" level after having had sufficient opportunity to improve, the employee's appraiser shall process an "Unacceptable" rating of record and forward it to the reviewing officer. If the "Unacceptable" rating of record is approved by the reviewing officer, the employee's appraiser shall:

6.6.2.1. Present the rating of record and performance plan to the employee for signature and date.

6.6.2.2 Within 30 calendar days initiate a personnel action to reassign the employee to a different position or terminate the employee's employment with DDESS.

6.7. Distribution of Ratings. This performance appraisal program does not establish a forced distribution of summary ratings.

6.8. Transmitting Performance Plans to Personnel:

6.8.1. Alphabetize original performance plans by Unit Identification Code (UIC).

6.8.2. Submit a separate transmittal letter for the employees assigned to each UIC. The transmittal letter must contain an alphabetized list of employees' complete formal names, complete and verified social security numbers, and summary ratings.

6.9. Retention. Performance ratings of record and individual performance plans will be retained by the Personnel Office for 3 calendar years in the Official Personnel Folder (OPF) or the Employees Performance File (EPF). Supporting documents shall be retained by the supervisor for at least 1 calendar year.

7. FORMS.

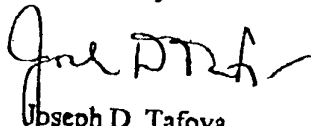
Appraisal forms are at Enclosure (3).

8. SAVINGS PROVISION.

The performance appraisal systems in place in DDESS schools as of the effective date of this Regulation are not approved performance appraisal systems under applicable laws and regulations. No provisions of this Regulation shall be applied in such a way as to affect any administrative proceeding related to any action taken under previous appraisal systems prior to the effective date of this Regulation.

9. EFFECTIVE DATE.

This Regulation is effective immediately.


Joseph D. Tafoya
Director

Enclosures (3):

1. Definitions
2. Performance Appraisal System Requirements
3. Appraisal Forms

E1. Enclosure 1

DEFINITIONS

- E1.1. Appraisal. The act or process of reviewing and evaluating the performance of an employee against performance standards.
- E1.2. Appraisal Period. The period of time for which an employee's performance will be reviewed. The minimum appraisal period for employees is 90 calendar days.
- E1.3. Appraisal Program. The performance appraisal program established by this Regulation which provides for identification of critical elements, establishment of performance standards, communication of elements and standards to employees, establishment of methods and procedures to appraise performance against established standards, and appropriate use of appraisal information in making personnel decisions.
- E1.4. Appraiser. A supervisor, typically an assistant principal or principal, in a position having authority to perform one or more of the following functions with respect to at least one subordinate employee or to effectively recommend such actions as: hiring, directing, recalling, suspending, disciplining, removing, adjusting grievances, assigning, promoting, rewarding, training, transferring, and furloughing. In no case will an "appraiser" be a current bargaining unit member.
- E1.5. Critical Element. One or more duties and responsibilities which contribute toward accomplishing organizational goals and objectives and which is of such importance that unacceptable performance on the element would result in unacceptable performance in the position.
- E1.6. Non-Critical Element. One or more duties and responsibilities that contribute toward accomplishing organizational goals and objectives but are not of such importance that unacceptable performance on the element would result in unacceptable performance in the position.
- E1.7. Performance Appraisal Plan. The written sum of an employee's performance elements and standards as reflected on the performance appraisal form (Enclosure (3)).
- E1.8. Progress Review. The process of communication with the employee about the performance standards described in the employee's appraisal plan. This review is not in itself a rating of record.
- E1.9. Performance Standard. A statement of the expectations or requirements established by management for each element at the fully successful rating level. A performance standard may include, but is not limited to factors such as quality, quantity, timeliness, and manner of performance.

E1.10. Rating of Record. The summary rating required at the time specified by the DDESS Deputy Director or at such other times specified in this Regulation for special circumstances.

E1.11. Reviewer. The official at each school/school district who approves performance appraisal ratings of record. This will typically be a school principal or school district Superintendent.

E1.12. Summary Rating. The written record of the appraisal of each element and the assignment of a summary rating level. The summary rating levels used in this program are "Fully Successful" and "Unacceptable."

5.3.9. Provide assistance to employees who receive ratings of record that are below the "Fully Successful" level.

5.3.10. Initiate corrective action, which may include, but is not limited to, formal on-the-job-training, counseling, and closer supervision, as appropriate, when an employee's performance falls below the "Fully Successful" level on any element of the performance plan.

5.4. Covered employees shall:

5.4.1. Participate in the development of their performance plans.

5.4.2. Participate in progress reviews and evaluation sessions.

6. PROCEDURES

6.1. Performance Appraisal Plan:

6.1.1. Individual performance appraisal plans shall be in writing and must include, at a minimum, the mandatory critical and non-critical elements and standards as annotated on the appraisal forms at Enclosure (3). Performance standards must be based on employee work assignments and responsibilities.

6.1.2. Employee participation is required in establishing performance appraisal plans. This may be accomplished by means including, but not limited to, those cited below:

6.1.2.1. Employee and supervisor discuss and develop the performance plan together.

6.1.2.2. Employee comments on draft performance plan prepared by the employee's appraiser.

6.1.3. Final authority for establishing such plans rests with the supervising officials.

6.1.4. Performance plans shall be reviewed and approved at the beginning of the appraisal period by the reviewer.

6.1.5. Employees will be provided copies of their approved written performance plans within 30 calendar days after the beginning of their appraisal period each year.

6.1.6. If a position is not covered by the elements and standards in Enclosure (3), the supervisor and employee will jointly develop an appropriate performance appraisal plan. The performance plan must contain at least one critical

element. (Bargaining obligations as described in Article 15 of the collective bargaining agreement between DDESS and FEA-SR (reference (c) will be accomplished prior to implementation.)

6.2. Appraisal Period:

The appraisal period begins on the first duty day of the school year and ends on the last duty day of the school year. To receive a rating of record, an employee must have served for a minimum period of 90 consecutive calendar days during that rating period under an approved performance appraisal plan.

6.3. Progress Reviews shall be conducted as follows:

6.3.1. A progress review shall be conducted with the individual at least once midway through the appraisal period. If an employee has been under an approved performance plan for less than 120 calendar days, a progress review is not necessary. Employees shall be informed of their levels of performance by comparison to the performance criteria in their performance plans.

6.3.2. To the maximum extent possible, progress reviews shall be informative and developmental in nature and may focus on improvement of future performance.

6.3.3. Additional progress reviews may be conducted as determined by supervisory officials.

6.4. Summary Rating:

6.4.1. Ratings will be based on a comparison of performance against performance standards. Ratings cannot be based upon assumed performance nor can they be based by carrying over a rating of record from a previous appraisal period without an actual evaluation of the employee's performance during the current appraisal period.

6.4.2. A rating is completed on each element of the performance plan, where applicable.

6.4.3. Each performance element is initially rated at one of the levels described in Enclosure (2). The element ratings are then converted to a summary rating using the process described in Enclosure (2) and annotated on the DDESS Performance Appraisal Form, Enclosure (3). The appraisal program uses the following summary ratings: "Fully Successful," and "Unacceptable."

6.5. Special Circumstances:

6.5.1. When an employee is detailed or temporarily promoted to duties outside his or her "regular" position for more than 90 days, the following applies:

6.5.1.1. Within 30 calendar days, the supervisor of the "temporary" position will prepare and present to the employee a performance plan covering the temporary position's elements and performance standards.

6.5.1.2. Within 30 calendar days after an employee completes a detail, the supervisor of the "temporary" position will complete and present to the employee a rated performance plan covering the employee's performance while on the "temporary" assignment. The evaluation does not require assignment of a summary rating. Since this type of performance rating is prepared prior to the end of the appraisal period, it does not constitute a rating of record.

6.5.2. When an employee transfers into or from a DDESS position, the following applies:

6.5.2.1. When an employee transfers into a DDESS position from another Federal position, the employee's DDESS appraiser shall consider any appraisal from the former activity which reflects performance during the current DDESS appraisal period when preparing the employee's annual rating of record. The appraiser must determine the weight or worth the former activity's performance rating merits.

6.5.2.2. When a DDESS employee transfers out of DDESS and has been covered by an employee performance plan at least 90 consecutive calendar days during the current appraisal period, the employee's appraiser shall submit to the employee a rated performance plan which covers the time served during the current appraisal period.

6.5.2.2.1. To the extent possible, a copy of the rated performance plan should be presented to the employee prior to departure; the original should be forwarded as expeditiously as possible to the personnel office.

6.5.2.2.2. Because this type of performance rating is prepared prior to the end of the appraisal period, it does not constitute a rating of record.

Note: The personnel office will forward the employee's last three ratings of record and the rated performance plan described above with the Official Personnel Folder to the gaining personnel office when the employee transfers out of DDESS.

6.5.3. Although appraisal periods generally cover a school year, when work assignments and responsibilities so warrant, or performance management objectives can be achieved more effectively, the appraisal period may be extended.

6.6. "Unacceptable" performance:

6.6.1. Any time during the appraisal period an employee's performance becomes "Unacceptable" in one or more critical elements of the appraisal plan, the

appraiser will initiate appropriate corrective action designed to assist the employee to improve performance to the "Fully Successful" level.

6.6.1.1 The employee's appraiser will inform the employee in writing of the specific performance deficiency, what critical element(s) are affected, and the length of a reasonable performance improvement period (PIP) during which the employee must demonstrate "Fully Successful" performance.

6.6.1.2. The length of the PIP may vary depending on the nature of the duties and responsibilities of the position and the performance deficiencies involved. In no case will a PIP be less than 30 calendar days.

6.6.1.3. During the PIP, the supervisor will provide encouragement to the employee whose performance is unacceptable, and afford them training and assistance, as appropriate, in order to achieve "Fully Successful" performance.

6.6.1.4. An "Unacceptable" rating will not be proposed by the appraiser until after the appraiser has:

6.6.1.4.1. Provided the employee the written record of deficient performance.

6.6.1.4.2. Provided the assistance described above.

6.6.1.4.3. Provided the employee sufficient opportunity to improve the deficient performance to the "Fully Successful" level.

6.6.2. If the employee's performance has not improved to the "Fully Successful" level after having had sufficient opportunity to improve, the employee's appraiser shall process an "Unacceptable" rating of record and forward it to the reviewing officer. If the "Unacceptable" rating of record is approved by the reviewing officer, the employee's appraiser shall:

6.6.2.1. Present the rating of record and performance plan to the employee for signature and date.

6.6.2.2 Within 30 calendar days initiate a personnel action to reassign the employee to a different position or terminate the employee's employment with DDESS.

6.7. Distribution of Ratings. This performance appraisal program does not establish a forced distribution of summary ratings.

6.8. Transmitting Performance Plans to Personnel:

6.8.1. Alphabetize original performance plans by Unit Identification Code (UIC).

6.8.2. Submit a separate transmittal letter for the employees assigned to each UIC. The transmittal letter must contain an alphabetized list of employees' complete formal names, complete and verified social security numbers, and summary ratings.

6.9. Retention. Performance ratings of record and individual performance plans will be retained by the Personnel Office for 3 calendar years in the Official Personnel Folder (OPF) or the Employees Performance File (EPF). Supporting documents shall be retained by the supervisor for at least 1 calendar year.

7. FORMS.

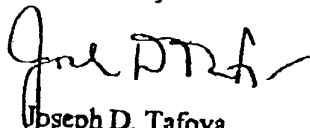
Appraisal forms are at Enclosure (3).

8. SAVINGS PROVISION.

The performance appraisal systems in place in DDESS schools as of the effective date of this Regulation are not approved performance appraisal systems under applicable laws and regulations. No provisions of this Regulation shall be applied in such a way as to affect any administrative proceeding related to any action taken under previous appraisal systems prior to the effective date of this Regulation.

9. EFFECTIVE DATE.

This Regulation is effective immediately.


Joseph D. Tafuya
Director

Enclosures (3):

1. Definitions
2. Performance Appraisal System Requirements
3. Appraisal Forms

E1. Enclosure 1

DEFINITIONS

- E1.1. **Appraisal**. The act or process of reviewing and evaluating the performance of an employee against performance standards.
- E1.2. **Appraisal Period**. The period of time for which an employee's performance will be reviewed. The minimum appraisal period for employees is 90 calendar days.
- E1.3. **Appraisal Program**. The performance appraisal program established by this Regulation which provides for identification of critical elements, establishment of performance standards, communication of elements and standards to employees, establishment of methods and procedures to appraise performance against established standards, and appropriate use of appraisal information in making personnel decisions.
- E1.4. **Appraiser**. A supervisor, typically an assistant principal or principal, in a position having authority to perform one or more of the following functions with respect to at least one subordinate employee or to effectively recommend such actions as: hiring, directing, recalling, suspending, disciplining, removing, adjusting grievances, assigning, promoting, rewarding, training, transferring, and furloughing. In no case will an "appraiser" be a current bargaining unit member.
- E1.5. **Critical Element**. One or more duties and responsibilities which contribute toward accomplishing organizational goals and objectives and which is of such importance that unacceptable performance on the element would result in unacceptable performance in the position.
- E1.6. **Non-Critical Element**. One or more duties and responsibilities that contribute toward accomplishing organizational goals and objectives but are not of such importance that unacceptable performance on the element would result in unacceptable performance in the position.
- E1.7. **Performance Appraisal Plan**. The written sum of an employee's performance elements and standards as reflected on the performance appraisal form (Enclosure (3)).
- E1.8. **Progress Review**. The process of communication with the employee about the performance standards described in the employee's appraisal plan. This review is not in itself a rating of record.
- E1.9. **Performance Standard**. A statement of the expectations or requirements established by management for each element at the fully successful rating level. A performance standard may include, but is not limited to factors such as quality, quantity, timeliness, and manner of performance.

E1.10. Rating of Record. The summary rating required at the time specified by the DDESS Deputy Director or at such other times specified in this Regulation for special circumstances.

E1.11. Reviewer. The official at each school/school district who approves performance appraisal ratings of record. This will typically be a school principal or school district Superintendent.

E1.12. Summary Rating. The written record of the appraisal of each element and the assignment of a summary rating level. The summary rating levels used in this program are "Fully Successful" and "Unacceptable."

E2. Enclosure 2

PERFORMANCE APPRAISAL SYSTEM REQUIREMENTS

E2.1. Each individual performance appraisal plan must include the mandatory elements and standards enumerated on the forms at Enclosure(3).

E2.1.1. Each performance appraisal plan must include at least one critical element and may include one or more non-critical elements. They may also include additional performance elements and related performance standards, if any.

E2.1.2. Employees on long-term training assignments (leave without pay) as described in Section 10, Article 21, of the MLA, will not receive a rating for the period of such assignment. Employees on other long-term training assignments may be covered by a performance plan developed relating to the training. The plan could include achievement of specific training objectives that may be either critical or non-critical.

E2.1.3. Employees may not be covered by more than one performance appraisal program. This does not, however, preclude observations and evaluations required as part of a teacher certification program.

E2.2. Employees are encouraged to participate in establishing their performance appraisal plan. This participation may include discussing and developing the performance plan with the supervisor, providing the supervisor with a draft plan, or commenting on a draft plan developed by the supervisor. Regardless of the nature of employee participation or consultation, final authority for establishing performance plans rests with the supervising officials.

E2.3. Performance appraisal plans are to be provided to employees in writing at the beginning of the appraisal period (within 30 calendar days).

E2.4. A two-level system shall be used to rate individuals on all elements. The two levels are "fully successful" and "unacceptable." Performance standards must be written at the "fully successful" level for all critical and non-critical elements.

E2.5. A two-level system shall be used in determining the individual summary rating. The two levels are "fully successful" and "unacceptable." More weight must be given to critical elements than to non-critical elements. The table below describes the process to be used in determining the summary rating.

Process for Determining Summary Ratings

Summary Rating

Ratings of Performance Elements

Fully Successful

Performance satisfies all critical elements

Unacceptable

Performance fails to satisfy one or more critical elements

E2.6. A rating of record for a disabled veteran shall not be lowered because the veteran has been absent from work to seek medical treatment as provided for in 5 C.F.R. 430.207(f).

E2.7. When an appraisal period ends and the established deadline for providing ratings of record of passes, the rating of record shall not be produced or changed retroactively except when:

E2.7.1. Within 60 days of issuance based upon an informal request by the employee;

E2.7.2. As a result of a grievance, complaint, or other formal proceeding permitted by law, regulation, or negotiated agreement, that results in a final determination by appropriate authority that the rating of record must be changed or as part of a bona fide settlement of a formal proceeding; or

E2.7.3. Where the agency determines that a rating of record was incorrectly recorded or calculated.

E2.8. Use of a two-tier rating system that results in either ratings of "Fully Successful" or "Unacceptable" does not prevent management officials from making other distinctions among employees or groups of employees based on performance for purposes other than assigning a summary level (e.g., for employee recognition and promotion decisions).

E3. Enclosure 3

**DEPARTMENT OF DEFENSE DOMESTIC DEPENDENT ELEMENTARY AND
SECONDARY SCHOOLS, PERFORMANCE APPRAISAL FORMS**



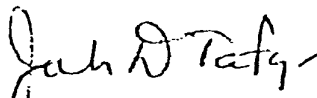
DEPARTMENT OF DEFENSE
EDUCATION ACTIVITY
4040 NORTH FAIRFAX DRIVE
ARLINGTON, VIRGINIA 22203-1635

JUL 3 2001

**MEMORANDUM FOR DEPUTY DIRECTOR, DODEA FOR
DOMESTIC SCHOOLS/CUBA**

Subject: DoDEA Regulation 3000.1

I hereby certify that DoDEA Regulation 3000.1, "Department of Defense Domestic Dependent Elementary and Secondary Schools Performance Appraisal Program for Teachers and Other Professional Bargaining Unit Members," dated July 3, 2001, meets the requirements of the Department of Defense Appraisal System as outlined in the attached checklist.


Joseph D. Tafoya

Director



Performance Appraisal Program Requirements
 Under the
 DoD Performance Appraisal System
 (DoD 1400.25M, CPM Subchapter 430, Appendix A)

PERFORMANCE APPRAISAL PROGRAMS:	5 C.F.R. 430	Subch. 430 Appendix A Paragraph Cite	Component Program Notes
Include a Statement of Compliance with DoD Performance Appraisal System	430.204(b)(5)	D.1.b.	DoDEA Regulation 3000.1, paragraph 1
Identify effective date of performance appraisal program		D.1.c.	DoDEA Regulation 3000.1, paragraph 9
Identify covered employees	430.202(a)	D.1.d.	DoDEA Regulation 3000.1, paragraph 2.1
	430.202(a)(1)		
	430.202(a)(2)		
Identify exempt employees	430.204(b)(2)		
	430.205(a)		
Choose Summary Level Pattern	430.202(b)-(d)	D.1.	DoDEA Regulation 3000.1, paragraph 2.2
Designate official appraisal period	430.204(b)(3)(iv)	D.1.d.	DoDEA Regulation 3000.1, paragraph 6.4.3 and Enclosure 2
Include a savings provision	430.206(a)	D.1.d.	DoDEA Regulation 3000.1, paragraph 6.2
Provide copy to DASD (CPP)	430.201(b)	D.1.f.	DoDEA Regulation 3000.1, paragraph 8
		E.1.	
		E.2.	

PERFORMANCE APPRAISAL PROGRAMS:	5 C.F.R. 430	Subch. 430 Appendix A Paragraph Cite	Component Program Notes
<i>PERFORMANCE PLANS SHALL:</i>	430.206(b)(1)(i) 430.206(b)	Para D.2.	
Be written or otherwise recorded	430.206(b)(3)	D.2.a.	DoDEA Regulation 3000.1, paragraph 6.1.1
Be based on employee work assignments and responsibilities	430.206(b)(3)	D.2.a.	DoDEA Regulation 3000.1, paragraph 6.1.1
Cover designated appraisal period	430.206(a)	D.2.a.	DoDEA Regulation 3000.1, paragraph 6.2
Be provided at beginning of appraisal period	430.206(b)(2)	D.2.b.	DoDEA Regulation 3000.1, paragraph 5.3.3
Identify critical, non-critical elements	430.206(b)(4)	D.2.b.	DoDEA Regulation 3000.1, paragraph 6.1.1
Critical elements -		D.5.	
Must have a minimum of one	430.206(b)(4)(i)	D.2.b.	DoDEA Regulation 3000.1, paragraph E.2.1.1 of Enclosure 2
Must describe "Fully Successful" and "Unacceptable rating levels	430.206(b)(6) 430.206(b)(7)(i)(A)	D.5.	DoDEA Regulation 3000.1, paragraph E.2.4 of Enclosure 2
Establish performance standards at "Fully Successful" level	430.206(b)(7)(i)(B)	D.6.	DoDEA Regulation 3000.1, paragraph E.2.4 of Enclosure 2
Additional performance standards allowable	430.206(b)(7)(i)(B)	D.2.b.	DoDEA Regulation 3000.1, paragraph E.2.1.1 of Enclosure 2
Non-critical elements -		D.2.b.	
Are optional	430.206(b)(7)(ii)	D.2.b.	DoDEA Regulation 3000.1, paragraph E.2.1.1 of Enclosure 2
If used must have a minimum of two rating levels	430.206(b)(7)(ii)(A)	D.5.	DoDEA Regulation 3000.1, paragraph E.2.4 of Enclosure 2
Have performance standards established at appropriate level	430.206(b)(7)(ii)(B)	D.5.	DoDEA Regulation 3000.1, paragraph E.2.4 of Enclosure 2

PERFORMANCE APPRAISAL PROGRAMS:	5 C.F.R. 430	Subch. 430 Appendix A Paragraph Cite	Component Program Notes
EMPLOYEE INVOLVEMENT:			
Employee involvement in development and implementation	430.204(c) 430.205(d)	D.3.	DoDEA Regulation 3000.1, paragraph 6.1.2 and E.2.2 of Enclosure 2
Union involvement pursuant to 5 U.S.C. 71	430.205(d)	D.3.	DoDEA Regulation 3000.1, paragraph 6.1.6
Employee involvement in establishing performance plans and standards	430.206(b)	D.3.	DoDEA Regulation 3000.1, paragraph 5.4, 6.1.2 and E.2.2 of Enclosure 2
APPRAISAL PERIODS:			
Established official rating period	430.204(b)(3)(i) 430.206(a)(1)	D.4. D.4.a.	DoDEA Regulation 3000.1, paragraph 6.2 DoDEA Regulation 3000.1, paragraph 6.2
Length of appraisal period (usually one year)	430.206(a)(2)	D.4.a.	DoDEA Regulation 3000.1, paragraph 6.2
Variations allowed to meet performance objectives	430.205(b) 430.205(c) 430.206(a)(2)	D.4.a.	DoDEA Regulation 3000.1, paragraph 6.5.3
Written or otherwise recorded rating of record to be given as soon as practicable after end of appraisal period	430.208(a)	D.4.b.	DoDEA Regulation 3000.1, paragraph 5.3.6
Ratings based on actual job performance for the designated appraisal period; no assumed ratings	430.208(a)(1)(2) *	No DoD cite	DoDEA Regulation 3000.1, paragraph 6.4.1

PERFORMANCE APPRAISAL PROGRAMS:	5 C.F.R. 430	Subch. 430 Appendix A Paragraph Cite	Component Program Notes
<i>APPRAISAL PERIODS, Cont'd</i>			
Ratings of record for a specified appraisal period; no carry-over ratings	430.208(b) ****		DoDEA Regulation 3000.1, paragraph 6.4.1
Changes to a rating of record after appraisal period or extended appraisal period; limits on retroactive ratings	430.208(i) **	No DoD cite	DoDEA Regulation 3000.1, paragraph E2.7
Minimum sixty (60) day appraisal period	430.204(b)(3)(ii) 430.207(a)	D.7.	DoDEA Regulation 3000.1, paragraph 6.2
<i>PERFORMANCE DISCUSSIONS:</i>			
One or more performance discussions during appraisal period	430.207(b)	D.8.	DoDEA Regulation 3000.1, paragraph 6.3.1
<i>SUMMARY RATING LEVEL:</i>			
Only one summary level pattern allowed per performance appraisal program	430.208(d)	D.9.	
Must be based on performance in all critical and non-critical elements	430.208(b)	D.9.a.	DoDEA Regulation 3000.1, E2.5 of Enclosure 2
Employees cannot be covered by more than one performance appraisal program	430.208(c)	D.10.	DoDEA Regulation 3000.1, E2.4 of Enclosure 2
Forced distribution of summary ratings are not allowed	430.208(c)	D.10.	DoDEA Regulation 3000.1, paragraph 6.7
Distinctions based on performance may be allowable for other purposes	430.208(c)	D.10.	DoDEA Regulation 3000.1, E2.8 of Enclosure 2
Program must identify methodology for deriving rating of record	430.208(b)	D.9.a.	DoDEA Regulation 3000.1, E2.5 of Enclosure 2
Summary ratings optional except when assigning rating of record	420.208(f) ***	D.9.b.	DoDEA Regulation 3000.1, paragraph 6.5.1.2

PERFORMANCE APPRAISAL PROGRAMS:	5 C.F.R. 430	Subch. 430 Appendix A Paragraph Cite	Component Program Notes
BELOW "FULLY SUCCESSFUL" PERFORMANCE:		D.14.	
May provide assistance when performance is below the "Fully Successful" but above "Unacceptable"	430.207(c)	D.14.a.	N/A - Two-tier system
Must provide assistance anytime when performance is "Unacceptable"	430.204(b)(1)(v) 430.207(d)(1)	D.14.b.	DoDEA Regulation 3000.1, paragraph 6.6.1.3
- In one or more critical elements			
Reassign, reduce in grade or remove when "Unacceptable" performance continues after opportunity to demonstrate acceptable performance	430.204(b)(1)(v) 430.207(d)(2)	D.14.b.	DoDEA Regulation 3000.1, paragraph 6.6.2.2
"Unacceptable" ratings of record require review and approval by higher authority	430.208(e)	D.14.b.	DoDEA Regulation 3000.1, paragraph 6.6.2

PERFORMANCE APPRAISAL PROGRAMS:	5 C.F.R. 430	Subch. 430 Appendix A Paragraph Cite	Component Program Notes
<i>OTHER:</i> Veteran's rating of record may not be lowered due to medical treatment	430.208(G)	D.15.	DoDEA Regulation 3000.1, paragraph E2.6 of Enclosure 2
Programs must establish criteria and procedures to address performance while on detail, long-term training	430.205(b) 430.208(G) **	D.11.	DoDEA Regulation 3000.1, paragraph 6.5.1 and E2.1.2 of Enclosure 2
For employees transferring in or out of programs must establish criteria and procedures to address: - Transfer of the rating of record - Transfer of the most recent performance ratings within current appraisal period	430.205(b) 430.208(G) *** 430.209(b)	D.12.	DoDEA Regulation 3000.1, paragraph 6.5.2
Transferred ratings must be taken into consideration if within current appraisal period	430.205(b) 430.208(G) ****	D.12.	DoDEA Regulation 3000.1, paragraph 6.5.2.1

See Notes Following:

NOTES:

Paragraphs added or renumbered as a result of October 5, 1998 changes to 5 C.F.R. 430, "Performance Management," Changes reflect OPM's intent to codify its long-standing interpretation of the law.

* Paragraphs (1), (2), (3), added to section 430.208(a) to identify conditions under which a rating of record shall be issued and to identify conditions under which a rating is considered "final."

** New paragraph (1) added to section 430.208 to prohibit "retroactive" ratings and to identify conditions under which a rating may be changed following the end of a regular or extended appraisal period or when agency-established deadline passes.

*** Former paragraph (b) of 430.208 is redesignated (j).

**** New paragraph (b) added to require that a rating cover a specific period of time for the appraisal and that agencies cannot carry over ratings without an actual evaluation of the employee's performance.

February 11, 1999/PBM