



DoDEA ADMINISTRATIVE INSTRUCTION 3000.1

DEPARTMENT OF DEFENSE PERFORMANCE MANAGEMENT AND APPRAISAL PROGRAM

Originating Division: Human Resources

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Dependent Schools Regulation 5430.9, "DoDDS Performance Management System," December 5, 1988, as amended

DDESS Directive Type Memorandum 05-001, "DDESS Performance Management Program," June 16, 2005

Dependent Schools Regulation 5430.9, "Performance Management System," December 5, 1982

DoDDS Performance Appraisal Guide, October 1, 1981

DoDEA Administrative Instruction 5460.01, "Multidimensional Administrator Performance Appraisal for DoDEA Principals and Assistant Principals," July 27, 2011

Approved by: Thomas M. Brady, Director

Purpose: This Issuance establishes policy, assigns responsibilities, and implements procedures in accordance with Volumes 430 and 431 of DoD Instruction 1400.25 to administer the Department of Defense Performance Management and Appraisal Program (DPMAP) within the Department of Defense Education Activity (DoDEA).

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY.

a. This Issuance applies to DoDEA Headquarters Organization, the DoDEA Americas Region, the DoDEA Europe Region, the DoDEA Pacific Region, and all schools under the DoDEA authority.

b. Employees that are excluded:

(1) Members of the Senior Executive Service.

(2) Intermittent employees, such as substitute teachers.

(3) Foreign national employees.

c. Where provisions of this Issuance conflict with enforceable provisions of negotiated labor agreements, the provisions of the negotiated agreements will apply. When provisions of this Issuance differ from changes in Federal law or regulation, the changes in Federal law or regulation will apply.

1.2. POLICY. It is DoDEA policy to:

a. Provide a fair, credible, and transparent performance and management appraisal program for linking bonuses and other performance-based actions to DoDEA employee performance in accordance with Section 9902 of Title 5, United States Code.

b. Develop and maintain a results-oriented performance culture that links individual performance to organizational goals.

1.3. INFORMATION COLLECTION. This Issuance may result in the collection of information due to its policy and procedures. Any collection of information must follow all applicable Federal, DoD, and DoDEA regulations, policies, and guidance.

SECTION 2: RESPONSIBILITIES

2.1. DODEA DIRECTOR. The DoDEA Director:

- a. Oversees the implementation, application, and evaluation of the DPMAP within DoDEA.
- b. Ensures DPMAP training for supervisors and employees is provided.
- c. Actively promotes a high-performance culture within DoDEA.
- d. Annually approves performance cash award thresholds.
- e. Approves, or delegates approval of, recommendations for Quality Step Increases (QSIs).

2.2. DODEA HUMAN RESOURCES DIVISION CHIEF. Under the authority, direction, and control of the DoDEA Director:

- a. Implements and applies the DPMAP within DoDEA.
- b. Ensures DPMAP training for supervisors and employees is provided.
- c. Ensures performance-based award programs make meaningful distinctions based on levels of performance.
- d. Periodically evaluates the effectiveness of the DPMAP within DoDEA.

2.3. DODEA LABOR MANAGEMENT AND EMPLOYEE RELATIONS BRANCH CHIEF. Under the authority, direction, and control of the Human Resources (HR) Division Chief, the Labor Management and Employee Relations (LMER) Branch Chief:

- a. Establishes, where necessary, standards, administrative requirements, and processing procedures in accordance with this Issuance.
- b. Establishes a quality control process to ensure accurate and timely completion of the DPMAP process and the associated award recommendations and approvals.
- c. Oversees and assists Employee Relations (ER) Specialists.
- d. Ensures DPMAP training is accessible on the DoDEA HR Intranet site.

2.4. DODEA EMPLOYEE RELATIONS SPECIALIST. Under the authority, direction, and control of the LMER Branch Chief, the ER Specialist:

- a. Advises and assists supervisors in addressing performance concerns that occur during the performance appraisal cycle or during the probationary period.

b. Communicates general information and guidance to supervisors and employees on the DPMAP process and associated awards.

2.5. DODEA SUPERVISOR. The supervisor:

a. Fosters a collaborative work environment to sustain organizational effectiveness and execute the DPMAP process within established guidelines and timelines.

b. Establishes performance plans based on duties and responsibilities, which are linked to organizational mission and goals and communicates approved plans to employees within 30 calendar days of the beginning of the performance appraisal cycle or the employee's assignment to a new position or set of duties.

c. Communicates performance expectations and outcomes to employees.

d. Monitors employee performance and modifies the performance plan as mission, organizational goals and priorities, or employee responsibilities change.

e. Provides continuous performance feedback and assists employees to improve performance throughout the rating period, as needed or requested.

f. Ensures employees complete mandatory DPMAP training requirements within required time frames.

g. Engages with employees to improve workplace effectiveness.

h. Prepares and documents progress reviews and meets privately with each employee to discuss feedback.

i. Upon request, provides employees with suggestions or examples that would produce an outstanding rating.

j. Provides employees normally with at least a two (2) week notice to complete the voluntary self-assessment before the final performance appraisal discussion.

k. Provides timely recognition for high-quality performance.

l. Takes immediate action if performance falls below the "Fully Successful" level in any performance element.

m. Takes immediate action to address a probationary employee's unacceptable performance or conduct.

n. Ensures DPMAP procedures and requirements are applied properly within DoDEA.

2.6. DODEA EMPLOYEE. The employee:

- a. Participates in and, as appropriate, provides input to the development and revisions of his or her performance plan.
- b. Gains an understanding of the supervisor's expectations and requests clarification, when necessary.
- c. Manages their performance to meet performance elements and standards identified in the performance plan and brings to the supervisor's attention circumstances that may impact the accomplishment of performance expectations and requests feedback.
- d. Prepares for and participates in performance appraisal discussions.
- e. Initiates discussion and engages with the supervisor to improve their personal performance.

SECTION 3: PERFORMANCE APPRAISAL PROCEDURES

3.1. PURPOSE.

- a. Provide a framework for supervisors to communicate expectations and job performance.
- b. Link individual employee performance to DoDEA organizational goals.
- c. Provide a fair and meaningful assessment of employee performance.
- d. Establish a process for planning, monitoring, evaluating, recognizing, and rewarding employee performance that contributes to DoDEA's success.
- e. Nurture a high-performance culture that promotes meaningful and ongoing dialogue between employees and supervisors.

3.2. AUTOMATED APPRAISAL TOOL.

- a. The automated appraisal tool provides a system to create, review, and approve employee performance plans, document modifications to performance plans, document progress reviews, document employee input to his or her individual performance, and document performance appraisals.
- b. The automated appraisal tool has been authorized for use in administering and documenting activities under the DPMAP and generating a completed Department of Defense (DD) Form 2906, "Department of Defense Civilian Performance Plan, Progress Review, and Appraisal."
- c. When supervisors or employees do not have access to the automated appraisal tool, the paper copy of DD Form 2906, "Department of Defense Civilian Performance Plan, Progress Review, and Appraisal," will be used to document the performance plan, progress review(s), and rating of record.

3.3. BASIC REQUIREMENTS OF DPMAP.

a. Performance Appraisal Cycle. The minimum rating period is 90 calendar days. The employee will be rated based on the period of demonstrated performance.

(1) The performance appraisal cycle for most DoDEA employees covered by DPMAP is from May 1 through April 30 of each calendar year.

(2) Educators covered by the Antilles Consolidated Education Association negotiated agreement have a rating cycle that begins at the start of the school year in August through the end of the school year in June.

(3) After consultation with LMER, an employee’s rating period may be extended on a case-by-case basis.

(4) New DoDEA employees will serve a rating period of more than 12 months if appointed within 90 calendar days of the end of the rating cycle. For example, if the employee starts March 5, 2020, the rating period will begin on March 5, 2020, and end on April 30, 2021.

b. Appraisal Pattern. The DPMAP uses a three-level rating pattern, (also known as “summary levels”) listed in Table 1: Performance Rating Levels.

Table 1: Performance Rating Levels

Level 5	Outstanding
Level 3	Fully Successful
Level 1	Unacceptable

c. Effective Date of the Appraisal. A rating of record is final when it is signed by the employee’s supervisor as the rating official and by the Higher Level Reviewer (HLR). A rating of record finalized before July 1 will be effective July 1. While most rating of records will be effective July 1, employees departing DoDEA may receive an earlier effective date.

d. Performance Discussions. To foster a culture of high performance, supervisors and employees should engage in two-way performance feedback process throughout the performance appraisal cycle. Supervisors are required to hold a minimum of three (3) formal documented performance discussions during the performance appraisal cycle. These required discussions will include the initial performance plan meeting to discuss performance expectations and core values, one (1) progress review, and the final performance appraisal discussion to communicate the rating of record. Additional progress reviews are highly encouraged throughout the performance appraisal cycle.

e. DoDEA Core Values. In order to develop common awareness and reinforce a high performance culture, DoDEA core values will be discussed with employees at the beginning of the performance appraisal cycle and will be included on all employee performance plans. The DoDEA core values, which form the foundation of the DoDEA performance culture are: Leadership, professionalism, and technical knowledge through dedication to duty, integrity, ethics, honor, courage, and loyalty. In addition to the DoDEA core values annotated on employee performance plans and discussed with employees, DoDEA may include organizational values, mission statements, or goals which apply to the employee’s performance elements. This aids in developing a common awareness and reinforcing the employee’s contribution to the overall success of the DoDEA mission. Employees will only be assessed on the DoDEA core values or organizational values to the extent applicable to the assessment of a performance element.

f. Retention Schedule for Employee Performance Files. Performance ratings of record, to include the performance plans on which they are based, will be retained for four (4) years or as otherwise required by Subpart 293.404 of Title 5, Code of Federal Regulations and Office of the

Secretary of Defense Records Disposition Schedules, Record Group 330. Since the automated performance tool maintains performance records for four (4) years, employees are advised to save performance records they wish to retain for personal use beyond the four (4) year period. Where any performance-related document is needed in connection with an ongoing administrative, negotiated, quasi-judicial, or judicial proceeding, the rating of record must be retained for as long as necessary.

3.4. PLANNING PERFORMANCE. Specific performance measures will be used to determine whether expectations and goals are being met. Each employee must have a written performance plan established and approved normally within 30 calendar days of the beginning of the performance appraisal cycle or the employee's assignment to a new position or set of duties. The supervisor will communicate the performance plan to the employee after it has been approved in accordance with Section 3.4.a. of this Issuance.

a. Employee Performance Plan. The employee performance plan will document how the expected outcomes and results are linked to the DoDEA goals and objectives and how the employee performance will be measured throughout the performance appraisal cycle. The employee performance plan includes the performance elements and performance standards for the performance appraisal cycle. Changes to mission, organizational goals, work unit priorities, promotion or assigned duties that occur during the performance appraisal cycle may necessitate revisions to the performance plan.

(1) School level performance plans have been standardized throughout DoDEA and do not require HLR approval.

(2) HLR approval is required for employee performance plans that are not standardized.

b. Performance Elements. Performance elements describe the expectations related to the work being performed. All performance elements must be critical elements and align with organizational goals. For ratings of record, each ratable element will be assigned a performance element rating. For assistance with alignment of performance elements to organizational goals, supervisors should review organizational plans and may consult with their LMER office. The two (2) types of performance elements are:

(1) Critical Element. Performance plans must have a minimum of one (1) critical performance element and each element must have associated performance standards that define expectations. A critical element is a work assignment or responsibility of such importance that unacceptable performance on the element would result in a determination that an employee's overall performance is rated as "Unacceptable." Supervisors must not establish critical elements for team performance.

(a) Performance element descriptions are limited to 1,500 characters with spaces.

(b) Utilizing another block in continuation of an element is not authorized.

(2) Supervisory Element. All performance elements related to supervisory duties are 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. Equal Employment Opportunity, Whistleblower Protection, and DPMAP compliance are mandatory performance requirements for all supervisors; and must be incorporated into the supervisor's critical element(s) related to leadership.

c. Performance Standards. Performance standards describe how the requirements and expectations provided in the performance elements are to be evaluated. Performance standards must be provided for each performance element in the performance plan and must be written at the “Fully Successful” performance rating level. The performance standards should include specific, measurable, achievable, relevant, and timely (SMART) criteria, which provide the framework for developing effective results and expectations. SMART performance standards objectively express how well an employee must perform his or her job to achieve performance at the “Fully Successful” performance rating level by providing standards that are:

- (1) Specific. Goals are sufficiently detailed to describe what needs to be accomplished.
- (2) Measurable. The accomplishment of the performance element is clear and can be quantified or substantiated using objective criteria.
- (3) Achievable. Goals are realistic, yet challenging, and can be accomplished with the resources, personnel, and time available to the employee.
- (4) Relevant. The critical element aligns with or links to the DoDEA organizational mission, goals, and success.
- (5) Timely. Goals will be completed within a realistic timeframe.

d. Developing and Communicating Performance Expectations. Written performance plans must be developed and approved by supervisors and clearly communicated to employees.

(1) Within 30 calendar days of the beginning of each performance appraisal cycle, supervisors and employees should discuss performance goals for the upcoming performance appraisal cycle. Supervisors must allow employees the opportunity to provide input into their performance elements and standards. If standard performance plan elements are used for bargaining unit employees, input from unions satisfies the employee input requirement.

(2) Supervisors must communicate each approved performance plan and how the performance expectations link to any organizational goals with their employees. This also provides an opportunity for the supervisor and employee to achieve a common understanding of the performance required for mission success.

(3) The date of the meeting or communication will be documented in the automated appraisal tool or on the DD Form 2906, “Department of Defense Civilian Performance Plan, Progress Review, and Appraisal.”

(4) Newly assigned supervisors should review the performance plans and initiate performance discussions with the employees.

e. Modifying the Plan During the Performance Appraisal Cycle When Employee Continues in the Same Position. A performance plan is a flexible, living document and should be reviewed and discussed throughout the performance appraisal cycle. Performance plans may be modified as organizational goals and priorities or employee responsibilities change. All approved modifications to performance elements or standards must be discussed with and communicated to the employee. The employee should acknowledge the revisions in the automated appraisal tool. Supervisors may acknowledge on behalf of the employee under extenuating circumstances. If considering a change to an element or standard within 90 calendar days of the end of the performance appraisal cycle when work requirements change or new duties are assigned, the supervisor may:

(1) Revise the element or standard at the beginning of the next performance appraisal cycle.

(2) Update the performance plan. If the employee does not have an opportunity to perform the new element(s) for the minimum 90 calendar-day period, do not rate the revised elements(s).

(3) Extend the performance appraisal cycle by the amount of time necessary to allow 90 calendar days of observed performance under the revised element or standard. Extending the performance appraisal cycle will affect the start date of the employee's subsequent performance appraisal cycle. The subsequent performance appraisal cycle should still end April 30 of the following calendar year. For example, after discussing with LMER, the supervisor decides to extend their employee's current rating cycle through May 15 so the employee may be rated in all elements. Thus, the next performance cycle will run from May 16 of the current year to April 30 of the following calendar year. The rating period may be extended on a case-by-case basis. Supervisors should consult the respective LMER office before implementing this option.

f. Modifying the Plan During the Performance Appraisal Cycle When Employee is Reassigned to a Different Position. When the employee is reassigned to a different position and/or division within 90 calendar days of the end of the performance appraisal cycle, the losing supervisor shall complete the annual performance rating of record early. The employee's next rating cycle will be more than 12 months. For example, if a DoDEA employee is selected for a different position on March 5 of the current calendar year, in the same or different DoDEA office, the employee's first day in the new position will be the start of the employee's next rating cycle. The last day of the employee's rating cycle will be April 30 of the following year. In the example above, the employee's current rating cycle will end on March 4 of the current year, and the next rating cycle will run from March 5 of the current year to April 30 of the following calendar year.

3.5. MONITORING PERFORMANCE. Monitoring performance consists of continuous assessment of performance compared to the stated expectations and feedback to employees on his or her progress toward reaching their goals.

a. Continuous Monitoring of Performance. By monitoring performance throughout the performance appraisal cycle, supervisors can provide timely feedback on meeting expectations

and identify unacceptable performance during the performance appraisal cycle in order to provide assistance to improve performance, rather than waiting until the end of the cycle when a rating of record is assigned. While monitoring performance, supervisors may identify an employee's need for training or developmental opportunities in order to enhance the knowledge, skills, or abilities related to the employee's job performance in his or her current position.

b. Performance Discussions. The supervisor and employee will discuss the employee's work performance and its link to organizational effectiveness. The discussions may consist of verbal feedback sessions, regular one-on-one meetings, or on-the-spot recognition or acknowledgement of performance. The supervisor or employee may initiate performance discussions at any time during the performance appraisal cycle to foster ongoing engagement and understanding. Performance discussions help ensure that the performance plans accurately reflect the work being evaluated. Effective communications include ongoing, constructive feedback to contribute to the overall employee and organizational success.

c. Progress Reviews. Progress reviews may only be initiated by supervisors. These are performance discussions that must be documented in the automated appraisal tool. While employees must have at least one (1) documented progress review, providing additional progress reviews throughout the performance appraisal cycle is encouraged. Employees are not given performance element ratings on progress reviews. HLR approval is not required for progress reviews. The supervisor and employee should engage in meaningful communications throughout the performance appraisal cycle. Progress reviews should include the following:

- (1) Organizational goals and priorities.
- (2) Performance elements and standards, including ensuring the performance plan accurately reflects the work being evaluated.
- (3) Supervisor's expectations.
- (4) Employee's accomplishments and contributions.
- (5) Employee's level of performance, including any areas that need improvement.
- (6) Barriers to success.
- (7) Employee's developmental needs and career goals.

3.6. EVALUATING PERFORMANCE. The supervisor will evaluate employee performance by assessing performance against the elements and standards in the employee's approved performance plan and assigning a rating of record based on work performed during the performance appraisal cycle. A written rating of record must be provided at the end of the performance appraisal cycle for each employee who has been under an approved performance plan for 90 calendar days during the performance appraisal cycle. Employees normally should be notified of his or her final rating within 60 calendar days of the end of the rating cycle.

a. Preparation and Submission of Performance Appraisals. Performance appraisals will be prepared in accordance with this Issuance and documented in the automated appraisal tool.

(1) Employee Input. Employees can provide written input about his or her performance accomplishments for supervisors to consider in evaluating each of the performance elements and overall performance accomplishments.

(a) Employee input, while not mandatory, is highly encouraged and valuable for progress reviews during and at the end of the performance appraisal cycle where the employee input becomes a part of the employee performance file.

(b) Employee input is limited to 2,000 characters with spaces per element. Utilizing another element block is not authorized.

(c) The absence of employee input does not relieve the supervisor of the responsibility for writing a narrative statement assessing the employee's performance standards and contributions.

(2) Performance Narrative.

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

(b) Supervisors will write a performance narrative that succinctly addresses the employee's performance measured against the performance standards for the performance appraisal cycle. Performance narratives are limited to 2,000 characters with spaces per element. Utilizing another element block is not authorized.

(c) Performance narratives are required for each element rated "Outstanding" and "Unacceptable." Performance narratives are highly encouraged, but not required, for each element rated "Fully Successful" as a means of recognizing all levels of accomplishments and contributions to mission success.

b. Descriptions of Performance Rating Levels. The performance rating assigned should reflect the level of the employee's performance. These samples are intended to be illustrative only and do not apply to all work situations but must be tailored to each situation.

(1) Level 5 – Outstanding.

(a) Produces exceptional results and exceeds expectations well beyond specified outcomes.

(b) Sets targeted metrics high and far exceeds them (e.g., quality, budget, quantity).

(c) Handles roadblocks or issues exceptionally well and makes a long-term difference.

- (d) Is widely seen as an expert, valued role model, or mentor for their work.
 - (e) Exhibits the highest standards of professionalism.
- (2) Level 3 – Fully Successful.
- (a) Effectively produces the specified outcomes, and sometimes exceeds them.
 - (b) Consistently achieves targeted metrics.
 - (c) Proactively informs supervisor of potential issues or roadblocks and offers suggestions to address or prevent them.
 - (d) Achieves goals with appropriate level of supervision.
- (3) Level 1 – Unacceptable.
- (a) Does not meet expectations for quality of work or fails to meet many of the required results for the goal.
 - (b) Is unreliable, makes poor decisions, or misses targeted metrics (e.g., commitments, deadlines, quality).
 - (c) Lacks or fails to use skills required for the job.
 - (d) Requires closer supervision than expected for an employee at an unacceptable level.

c. Rating Employee Performance.

(1) The supervisor will assign an individual performance rating of either 5, 3, or 1 to each critical element. All performance element ratings are averaged to calculate the rating of record, rounded to the nearest tenth, which reflects the employee’s overall job performance during the performance appraisal cycle based on the rating criteria in Table 2: Rating Level.

Table 2: Rating Level

Rating Level	Rating Level
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’(Unacceptable), 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’(Unacceptable), resulting in a rating of record that is a ‘3’.
Level 1 – Unacceptable	Any critical element rated as ‘1’.

(2) DPMAP does not establish a forced distribution of performance rating levels.

(3) All ratings of record must be reviewed and approved by an HLR. Supervisors should consult LMER prior to issuing a Level 1 rating.

(4) If an employee does not have an opportunity to perform work associated with a performance element for 90 calendar days during the performance appraisal cycle, no performance element rating will be assigned for that performance element. A performance element that cannot be rated should not be used as a factor in deriving a rating of record.

(5) The rating of record or individual performance element rating assigned to a critical element for a disabled veteran will not be lowered because the veteran has been absent from work to seek medical treatment, in accordance with Section 430.208(f) of Title 5, Code of Federal Regulations.

d. Reconsideration of a Performance Appraisal. 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, negotiated grievance procedures. However, the substance of an employee's performance elements, standards, or work objectives may not be grieved. Additionally, employees may not grieve determinations concerning awards or QSIs through the administrative grievance system or, where applicable, negotiated grievance procedures.

3.7. RECOGNIZING AND REWARDING PERFORMANCE. Supervisors recognize and reward performance by providing incentives to employees for individual and team achievement and for their contributions to the DoDEA mission. For example, employees may be recognized by their supervisors for achievements that are rating-based (e.g., performance) and non-rating-based (e.g., incentive). For non-rating based awards, DoDEA has developed a recognition and rewards program, DoDEA Administrative Instruction 1432.01, which embodies strong business principles through the development of policies and rules. Supervisors can strengthen the performance culture and influence employee engagement by using recognition throughout the performance appraisal cycle. It is important to recognize performance and achievements as they occur, preferably as close as possible to the act(s) being recognized.

a. When a supervisor publicly recognizes employee or team achievements, he or she communicates the types of activities and accomplishments that DoDEA values. Recognition and reward programs are valuable tools to increase employee performance, morale, and commitment to support the DoDEA mission.

b. Recognition and rewards are not entitlements. Achievements or contributions, warranting recognition, should be related to DoDEA mission and goals and to exceeding expectations.

c. Rewards should be an integral part of employee performance management.

d. Awards for employee recognition and rewards during the annual appraisal period, based on a rating of record of “Fully Successful” or higher, should be entered in the automated award system.

e. The rating official may recommend an employee for a performance-based cash award, performance-based time-off award, or a combination of both. In accordance with Section 3.8.c. of this Issuance, an employee may be recommended to receive a QSI if the requirements are met. A QSI cannot be combined with a performance-based cash award or a time-off award.

f. Performance-Based Awards. Performance-based awards are processed in accordance with Volume 451 of DoD Instruction 1400.25, DoDEA Administrative Instruction 1432.01, and applicable collective bargaining agreements.

3.8. LINKAGE OF PERFORMANCE MANAGEMENT TO OTHER PERSONNEL

ACTIONS. Employee performance may impact other personnel actions and the DPMAP links the following employee personnel actions to performance appraisals for employees:

a. Promotion. To be eligible for a promotion under a merit promotion plan in accordance with Subpart 335.103 of Title 5, Code of Federal Regulations, an employee must meet minimum qualification standards and other promotion criteria. Due weight will be given to performance appraisals and incentive awards. To be eligible for a career ladder promotion under a merit promotion plan in accordance with Subpart 335.104 of Title 5, Code of Federal Regulations, an employee must be performing at the “Fully Successful” level or higher. The fact that employees are rated “Fully Successful” or higher at the time they are eligible for promotion does not mean promotions are automatic.

b. Within-Grade Increase. A Within-Grade Increase (WGI), or periodic step increase, is an increase in an employee’s rate of basic pay from one (1) step of the grade of his or her position to the next higher step of that grade in accordance with Subparts 531.404 and 532.417 of Title 5, Code of Federal Regulations and Section 5335 of Title 5, United States Code. A WGI is not an entitlement and a supervisor may approve, delay, or deny a WGI, based on an employee’s performance.

(1) As part of continuous communication with employees, the supervisor will discuss an upcoming WGI with the employee and may document the date of this conversation in the section designated for progress reviews in the automated appraisal tool.

(2) The decision to grant or deny a WGI is based on the employee’s most recent rating of record issued within the WGI waiting period. To receive a WGI, the employee must be performing at the “Fully Successful” level or higher with a rating of record of “3” or higher. When a WGI decision is not consistent with the employee’s most recent rating of record a more current rating of record must be prepared. When considering denying a WGI, supervisors should contact the servicing LMER office for further information and assistance in following the requirements in Subparts 531.409 and 531.411 of Title 5, Code of Federal Regulations.

c. Quality Step Increase. The purpose of a QSI is to recognize excellence in performance by granting an accelerated step increase. A QSI is a permanent salary increase for General Schedule employees assigned to a permanent position only. Careful consideration should be given before granting a QSI. A QSI does not affect the timing of an employee’s next regular WGI, unless the QSI places the employee in step 4 or step 7 of his or her grade. In these cases, the employee must complete the full waiting period for the new step, 104 weeks for steps 4-6 or

156 weeks for steps 7-9. The time an employee has already waited is not lost but continues to count towards the waiting period for the next step increase. The waiting period continues to be counted from the date that the last WGI was effective and does not reset from the date that the QSI was effective. The QSI provides the employee the benefit of receiving an additional step increase at an earlier date than he or she originally would have without losing any time creditable towards his or her next WGI. A QSI must be limited to those cases where exceptional performance has extended over a significant time period and is expected to continue into the future. To be eligible for a QSI, an employee must:

- (1) Currently be paid below step 10 of his or her grade.
- (2) Have a most recent rating of record of Level 5 - Outstanding.
- (3) Exceed all performance elements.
- (4) Have demonstrated sustained performance of high quality throughout the performance appraisal cycle.
- (5) Have waited at least 52 consecutive calendar weeks and one (1) full appraisal cycle since the employee's last QSI (e.g., cannot have back-to-back QSIs for consecutive appraisal cycles), with reasonable expectation that the high quality performance will continue and the employee will remain in the same position for at least 60 calendar days after the effective date of the QSI.
- (6) Have been a DoDEA employee, and have held the same grade, throughout the entire rating cycle (e.g., cannot be a new or transfer employee to DoDEA or have been promoted anytime during the rating cycle).
- (7) When recommending QSIs, supervisors must consider employee position changes and promotions during the rating cycle, which normally require changes to the performance plan. Changes may include: Adding new or modifying existing performance elements/standards, or in the case of promotions, applying more rigorous standards commensurate with the new grade level.

d. Reassignment, Reduction-in-Grade, or Removal Based on Unacceptable Performance.

(1) Consistent with the requirements in Subpart 432.105 of Title 5, Code of Federal Regulations, employees who fail to demonstrate performance at the "Fully Successful" level may be reduced in grade or removed from Federal service.

(2) The employee may also be subject to reassignment at DoDEA's discretion.

3.9. SPECIALLY SITUATED EMPLOYEES. There are several special circumstances that may affect an employee's eligibility for a performance rating.

a. Employees on Detail or Matrixed Employees. When an employee is detailed or matrixed, it remains the responsibility of the supervisor of record to seek input from the detail or matrix supervisor for use in developing the performance plan, conducting progress reviews, and completing the rating of record.

b. Employees Performing Union Representational Responsibilities. When an employee is engaged in union representational responsibilities, the time spent performing union representation does not constitute work of DoDEA. If an employee performs DoDEA work to meet the 90 calendar day requirement under an approved performance plan, that employee is eligible to receive a rating of record.

c. Employees Absent for Military Service. Employees who are absent for military service will be rated provided the employee has performed work under an approved performance plan for a minimum of 90 calendar days. If employees performing military service do not meet the 90 calendar day requirement, the employee is not eligible to receive a rating of record and the supervisor cannot assign the most recent rating of record for the current performance appraisal cycle.

d. Employees on Leave Without Pay or Extended Paid Leave. If an employee is absent during the performance appraisal cycle because he or she was on leave without pay or extended paid leave (including disabled veterans seeking medical treatment), the employee is eligible to receive a rating of record if he or she has performed work under an approved performance plan for a minimum of 90 calendar days. If an employee does not meet the 90 calendar day requirement, then he or she is not eligible to receive a rating of record.

e. Employees on Long-Term Full-Time Training. Employees attending a program of long-term full-time training greater than 90 calendar days may have a performance plan developed related to the training. The performance plan could include elements related to the achievement of specific training objectives. In this situation, supervisors may contact the respective training activity for assistance and recommended input to the performance plan.

f. Employees Who Transfer or Supervisors Who Leave During the Performance Appraisal Cycle. The length of time an employee serves under an approved performance plan determines what is required when an employee or supervisor leaves the organization.

(1) If a supervisor leaves the organization, a performance narrative statement is required when an employee has performed under an approved performance plan for 90 calendar days and there are more than 90 calendar days left in the performance appraisal cycle. This performance narrative statement will be considered by the incoming supervisor. Like progress reviews, narrative statements do not include numerical element ratings.

(2) A rating of record is required when an employee has performed under an approved performance plan for 90 calendar days and the employee or supervisor leaves the organization with fewer than 90 calendar days remaining in the performance appraisal cycle. If circumstances preclude the departing supervisor from carrying out this responsibility, the HLR may serve as the rating official, subject to DoDEA policy.

(3) When it is impracticable for the higher level management official to serve as the rating official, another management official may be designated as the rating official. The designated rating official should be a supervisor or management official with a solid understanding of DoDEA and possesses direct knowledge of the employee's performance. There may also be circumstances when the acting or new supervisor, with fewer than 90 calendar days in the supervisory position, may need to obtain input from a management official with direct knowledge of the employee's performance to complete the rating of record.

3.10. IDENTIFYING AND IMPROVING UNACCEPTABLE PERFORMANCE.

Supervisors are required to identify serious performance deficiencies.

a. Addressing Performance Issues Early. When a supervisor detects a decline in performance, early intervention is imperative. Assistance should be provided to the employee whenever there is a need for improvement or any time the supervisor notices a decline in performance. The supervisor should take the following actions, as appropriate:

(1) Clearly communicate to the employee the current performance level fails to meet the performance standards described in the performance plan and provide clear guidance as to what is needed for the employee to improve. Provide specific examples of what and how the current performance level has not met expectations, as well as examples of work that would meet expectations.

(2) Offer appropriate assistance.

(3) Provide ideas of where the employee may go to obtain additional assistance or training, if applicable.

(4) Provide closer supervision and feedback. This might include more frequent reporting, special assignments, or on-the-job training.

(5) If performance issues persist, use a more formal approach to help employees improve and seek assistance from LMER.

b. Addressing Unacceptable Performance. If the employee's performance declines to less than "Fully Successful" in one (1) or more performance elements, the supervisor, in consultation with LMER, will determine whether action is more appropriate under Subpart 432.105 or Part 752 of Title 5, Code of Federal Regulations and must provide notice of the performance deficiencies to the employee. The supervisor must also provide assistance designed to help the employee improve his or her performance during an opportunity period to demonstrate acceptable performance. Please consult LMER prior to issuing a "Unacceptable" rating. The procedures contained in Subparts 432.104 and 432.105 of Title 5, Code of Federal Regulations must be followed for unacceptable performance. The procedures are:

(1) Provide notice to the employee by issuing a rating of record of "Unacceptable." A rating of record of "Unacceptable" will be effective the day it is communicated to the employee. The time spent improving performance to the "Fully Successful" level will not count toward the completion of the necessary waiting period for a WGI (hereinafter referred to as the WGI delay

offset period). The effective date of the rating of record will establish the start date of the WGI delay offset period.

(2) The supervisor must identify in writing (e.g., in a Performance Improvement Plan (PIP)):

(a) The element(s) in which the performance level is “Unacceptable” and a description of the unacceptable performance.

(b) What standards the employee must attain in order to demonstrate “Fully Successful” performance.

(c) The time allowed for the employee to demonstrate "Fully Successful" performance. This amount of time must be reasonable and commensurate with the duties and responsibilities of the position.

(d) A statement of the possible consequences of failure to raise the performance level to the “Fully Successful” level during the opportunity period.

(3) The supervisor must provide assistance designed to help the employee improve his or her performance during the period of the PIP.

(4) If the employee succeeds in demonstrating acceptable performance at the "Fully Successful" level by the end of the PIP, a new rating of record will be recorded. The date the employee is eligible for a WGI will be reset to accommodate the WGI delay offset period. The "Fully Successful" rating of record will establish the end date of the WGI delay offset period.

(5) If the employee fails to demonstrate performance at the “Fully Successful” level despite the PIP, the employee may be reduced-in-grade or removed from Federal service in accordance with Subpart 432.105 of Title 5, Code of Federal Regulations. The employee may also be subject to reassignment at DoDEA’s discretion. In cases of voluntary or management-directed personnel actions, such as change to lower grade, reassignment, resignation, separation, or removal, the effective date of the action will establish the end date of the WGI delay offset period.

3.11. PROBATIONARY AND TRIAL PERIODS. Employee performance may impact the successful completion of an employee or supervisory initial probationary or trial period, which is an extension of the hiring or selection process.

a. Initial Probationary and Trial Period.

(1) Newly appointed employees must complete a probationary period when appointed in the competitive service, or a trial period when appointed in the excepted service, as required per the applicable appointing authority. Supervisors utilize this period to determine the employee’s qualifications and/or suitability for continued employment.

(2) During the probationary period the supervisor evaluates the employee's work performance and conduct and provides performance feedback, guidance, training, and counseling to assist with any necessary adjustments. The supervisor or employee may initiate feedback discussions at any time during the probationary or trial period.

(3) Unacceptable performance or conduct during the probationary or trial period is serious and can result in termination from Federal service prior to the end of the probationary or trial period. Supervisors should consult LMER for assistance as soon as employee performance deficiencies or conduct issues arise.

b. Probationary Period for New Supervisors and Managers. New supervisors and managers must complete a one-year supervisory or managerial probationary period upon their first assignment to a permanent supervisory or managerial position in the competitive service.

(1) All new supervisors and managers must complete mandatory supervisory training during the one-year period following their initial assignment. New supervisors and managers should contact HR for assistance in locating appropriate supervisory training. The rating official holds regular performance discussions throughout the probationary period to monitor progress and provide feedback, guidance, and counseling to the new supervisor or manager.

(2) Employees are notified in writing of the supervisory/managerial probationary period before assignment to a supervisory or managerial position. The notice includes information that if the supervisory or managerial probation is not satisfactorily completed, the employee will be returned to a position of no lower grade or pay than the position from which transferred, assigned, or promoted.

GLOSSARY

G.1. ACRONYMS.

DD	Department of Defense
DPMAP	DoD Performance Management and Appraisal Program
ER	Employee Relations
HLR	Higher Level Reviewer
HR	Human Resources
LMER	Labor Management and Employee Relations
PIP	Performance Improvement Plan
QSI	Quality Step Increase
SMART	Specific, Measurable, Achievable, Relevant, and Timely.
WGI	Within Grade Increase

G.2. DEFINITIONS. Unless otherwise noted, these terms and their definitions are for the purpose of this Issuance only.

acceptable performance. Performance that meets an employee’s performance requirements or standards in the elements being assessed.

aggregate salaries. The base salary plus the locality pay is used to determine the award budget.

appraisal. The process by which performance is reviewed and evaluated.

approved performance plan. A performance plan written, reviewed, and approved in accordance with DoDEA procedures, which communicates expectations and requirements of employee performance for the performance appraisal cycle.

critical element. A type of performance element in which a work assignment or responsibility is of such importance that unacceptable performance on the element would result in a determination that the employee’s overall performance is unacceptable. Critical elements are only used to measure individual performance.

detail. A temporary assignment to a different position or a set of duties for a specified time period. The employee is expected to return to his or her permanent position of record at the end of the detail.

employee performance file. A record containing copies of the employees’ performance ratings of record, including the performance plans on which the ratings are based. It also includes all performance-related records, such as collection or other documents, maintained as a system of records in accordance with Section 552a of Title 5, United States Code, also known and referred to in this Issuance as the “Privacy Act of 1974, as amended.”

Higher Level Reviewer. A senior-level management official, normally above the level of a rating official.

manager. Directs the work of an organizational unit, is held accountable for the success of a specific line or staff functions, monitors and evaluates the progress of the organization toward meeting goals, and makes adjustments in objectives, work plans, schedules, and commitment of resources. Serves as a rating official of subordinate supervisors.

matrixed employee. An employee hosted by an organization at a location separated from his or her permanent supervisor or organization of record and who is performing work for his or her organization of record. The employee may receive tasks from the host organization but he or she remains under the authority, direction, and control of his or her organization of record.

minimum period of performance. The minimum appraisal cycle for the DPMAP is 90 calendar days on an approved performance plan.

opportunity period to demonstrate acceptable performance. A reasonable period for the employee whose performance has been determined to be unacceptable in one (1) or more elements to demonstrate acceptable performance in the element(s) at issue.

performance. Accomplishment of work assignments or responsibilities.

performance-based award. An award granted to an employee based on a Level 3 - “Fully Successful” or higher rating of record at the end of most recent appraisal cycle at the discretion of the DoDEA Director, or designee(s).

performance discussion. Joint communication between the supervisor and employee about the employee’s work performance and its link to DoDEA effectiveness. The performance discussions may consist of verbal feedback sessions or formal progress reviews.

performance element rating. The written, or otherwise documented, appraisal of performance compared to the performance standards for each element on which there has been an opportunity to perform for the minimum period of performance.

performance management. The integrated process by which DoDEA involves its employees in improving organizational effectiveness in the accomplishment of the DoDEA mission and strategic goals. Performance management consists of: Performance planning, monitoring employee performance, evaluating employee performance, and recognizing and rewarding employee performance.

performance plan. All of the written, or otherwise recorded, performance elements and standards that set expected performance. A plan must include critical elements and their performance standards.

performance rating. An ordered category of performance from Level 1 through Level 5, with Level 1 as the lowest and Level 5 as the highest. Level 1 is “Unacceptable”; Level 3 is “Fully Successful”; and Level 5 is “Outstanding”. These levels are also referred to as “summary levels.”

performance appraisal cycle. A one-year period (normally May 1 to April 30) established by the DPMAP in which an employee’s performance will be reviewed and a rating of record will be assigned.

performance standard. The management-approved expression of the performance threshold, requirement, and expectations that must be met to be appraised at a particular level of performance. A performance standard may include, but is not limited to, quality, quantity, timeliness, and manner of performance.

performance improvement plan. A strategy developed for an employee at any point in the performance appraisal cycle when performance becomes unacceptable in one (1) or more elements. This plan affords an employee the opportunity to demonstrate acceptable performance and is developed with specific guidance provided by the servicing LMER office.

progress review. A type of formal performance discussion in which the supervisor communicates with the employee about the employee’s performance compared to his or her performance standards. Supervisors are required to conduct at least one (1) formal progress review during the performance appraisal cycle.

probationary period. The period of service of an employee upon initial appointment to a competitive position, which is used by the supervisor to determine qualifications and/or fitness for continued employment.

promotion. A change of an employee, while serving continuously within DoDEA, either to a higher grade when both the old and the new positions are under the General Schedule or under the same type graded wage schedule, or to a position with a higher rate of pay when both the old and the new positions are under the same type of ungraded wage schedule, or are in different pay method categories.

quality step increase. A QSI is a faster than normal step increase intended to recognize sustained performance of outstanding quality. An increase in an employee’s rate of basic pay from the employee’s current step of his or her position to the next higher step of that grade, in accordance with Subpart 531.403 of Title 5, Code of Federal Regulations. Only a General Schedule employee, assigned to a permanent position, who receives a rating of record of “Outstanding” is eligible for a QSI. A QSI is granted at the discretion of the DoDEA Director, or designee(s).

rating of record. The performance rating level assigned at the end of a performance appraisal cycle for performance of Activity-assigned duties over the entire performance appraisal cycle.

rating official. The person responsible for informing the employee of the duties of his or her position, establishing performance standards, providing feedback, appraising performance, and assigning the performance rating.

reassignment. The change of an employee, while serving continuously within DoDEA, from one (1) position to another without promotion or demotion.

reduction-in-grade. The involuntary assignment of an employee to a position at a lower classification or job grading level. A reduction-in-grade is also referred to as a demotion.

removal. The involuntary separation of an employee from Federal service.

supervisor. An individual with the authority under Section 7103(a)(10) of Title 5, United States Code, to hire, direct, assign, promote, reward, transfer, furlough, layoff, recall, suspend, discipline, or remove employees, to adjust their grievances, or to effectively recommend such action, if the exercise of the authority is not merely routine or clerical in nature, but requires the consistent exercise of independent judgement.

trial period. The period of service of an employee upon initial appointment to excepted service, which is used by the supervisor to determine qualifications and/or fitness for continued employment. A trial period is generally one (1) or two (2) years in length as required per the applicable appointing authority.

trusted agent. An individual assigned and authorized by the rating official or HLR to act on their behalf within the automated appraisal tool for the purpose of documenting their decisions related to performance management matters.

unacceptable performance. Performance that fails to meet the established performance standards in one (1) or more elements of an employee's position. It is referred to as an "Unacceptable" rating under the DPMAP.

within grade increase. A periodic increase in an employee's rate of basic pay from the employee's current step of the grade of his or her position to the next higher step within that grade. The employee's rating of record must be at the "Fully Successful" level to be eligible for a WGI.

REFERENCES

Code of Federal Regulations, Title 5

DD Form 2906, "Department of Defense Civilian Performance Plan, Progress Review, and Appraisal," March 1, 2016

DoD Instruction 1400.25, Volume 430, "DoD Civilian Personnel Management System: Performance Management," August 5, 2014

DoD Instruction 1400.25, Volume 431, "DoD Civilian Personnel Management System: Performance Management and Appraisal Program," February 4, 2016, as amended

DoD Instruction 1400.25, Volume 451, "DoD Civilian Personnel Management System: Awards," November 4, 2013

DoDEA Administrative Instruction 1432.01, "Incentive and Honorary Awards," December 14, 2017

Office of the Secretary of Defense Records Disposition Schedules, Record Group 330, June 2019

United States Code, Title 5

APPENDIX

APPENDIX 1: INTERNAL CONTROLS EVALUATION SUPERVISOR CHECKLIST

CHECKLIST ITEM	YES/NO
Before the meeting, did the supervisor review the employee’s Position Description and Performance Plan to understand what constitutes a Fully Successful performance level?	
Did the supervisor conduct the performance discussion in a private place?	
Did the supervisor arrange five (5) business days for comments and employee feedback and questions?	
Did the supervisor clearly state performance expectations and confirm the employee understands those expectations (agreement is not required but understanding is the goal)?	
Did the supervisor focus on the performance issue(s), using specific examples, not on personalities or other distractions?	
Did the supervisor maintain a constructive tone and a calm and professional demeanor?	
Did the supervisor try to end the session on a positive note by emphasizing the mutual goal is to improve the employee's contributions to the success of DoDEA?	

APPENDIX 2: INTERNAL CONTROLS EVALUATION EMPLOYEE CHECKLIST

CHECKLIST ITEM	YES/NO
Did employee review the performance plan to ensure it reflects the current work focus?	
Did the employee document accomplishments for each element?	
Did the employee consider their performance thus far as compared to the performance elements and standards?	
Did the employee prepare to provide examples of individual work contributions, focusing on the following:	
<input type="checkbox"/> Tasks you have completed.	
<input type="checkbox"/> Problems you have solved.	
<input type="checkbox"/> Progress on your developmental interests.	
Did the employee prepare questions to ask related to the following:	
<input type="checkbox"/> Problems with which you need help.	
<input type="checkbox"/> Tasks that have yet to be completed.	
<input type="checkbox"/> Developmental, training, and learning needs or interests.	
Note where the manager/supervisor can help the employee remove obstacles and overcome challenges. Was the employee prepared to suggest adjustments to the performance plan to reflect new work or changed goals and priorities?	
Was the performance discussion completed?	