



Department of Defense Education Activity ADMINISTRATIVE INSTRUCTION

NUMBER 5460.01
DATE JUL 27 2011

HUMAN RESOURCES DIRECTORATE

SUBJECT: Multidimensional Administrator Performance Appraisal for Department of Defense Education Activity Principals and Assistant Principals

- References:
- (a) Part 430 of title 5, Code of Federal Regulations
 - (b) Sections 4301 through 4303 of title 5, United States Code
 - (c) DoD Instruction 1400.25, Volume 430, "Civilian Personnel Manual," December 3, 1996
 - (d) Sections 901 through 907 of title 20, United States Code
 - (e) Section 2164 of title 10, United States Code

1. PURPOSE. This Administrative Instruction establishes policy and assigns responsibilities for the management and evaluation of the performance of principals and assistant principals within the Department of Defense Education Activity (DoDEA) in accordance with References (a) through (e).

2. APPLICABILITY. This Administrative Instruction:

a. Applies to the Office of the Director, DoDEA; the Director, Domestic Dependent Elementary and Secondary Schools, and Department of Defense Dependents Schools, Cuba (DDESS/DoDDS-Cuba); the Director, Department of Defense Dependents Schools, Europe (DoDDS-E); the Director, Department of Defense Dependents Schools, Pacific, and Domestic Dependent Elementary and Secondary Schools, Guam (DoDDS-P/DDESS-Guam), (hereafter collectively referred to as "DoDEA Area Directors"); and all DoDEA Area and District Superintendents, School Principals and Assistant Principals.

b. Does not apply to General Schedule employees.

3. DEFINITIONS. See Glossary.

4. POLICY. It is DoDEA policy that the Multidimensional Administrator Performance Appraisal (MAPA) program:

- a. Improves practices in instructional leadership to enhance student achievement.
- b. Links and assesses individual performance with the use of Individual Leadership Plans (ILP) by establishing individual expectations for performance that reflect organizational goals and priorities.
- c. Facilitates frequent discussion among the ratee and the rating chain about performance, expectations and professional development, and ensures the review and use of data to align school improvement goals in order to increase student achievement outcomes.
- d. Improves individual and organizational effectiveness by providing a framework and purposeful direction for administrators.
- e. Uses performance results as a basis for making proper and meaningful distinctions in performance and as a basis for determining awards.
- f. Implements and complies with the provisions and requirements of Volume 430 of Reference (c), the DoD Performance Appraisal System.

5. RESPONSIBILITIES. See Enclosure 1.

6. EFFECTIVE DATE. This Administrative Instruction is effective immediately.



Marilee Fitzgerald
Acting Director

Enclosures

1. Responsibilities
 2. Procedures
 3. Individual Leadership Plan
- Glossary

ENCLOSURE 1

RESPONSIBILITIES

1. DIRECTOR, DODEA. The Director, DoDEA, shall establish and disseminate program standards and policy for the performance management of administrators.

2. AREA DIRECTORS. The Area Directors shall:
 - a. Implement guidance and organizational requirements.
 - b. Notify employees of annual training requirements.

3. AREA AND DISTRICT SUPERINTENDENTS, DODEA. The DoDEA Area and District Superintendents shall:
 - a. Ensure that DoDEA supervisors within their Areas are informed about the requirements of this Administrative Instruction and the applicable provisions of law and other regulations concerning administrator performance appraisals.
 - b. Ensure that DoDEA supervisors properly execute their responsibilities with regard to administrator performance appraisals.
 - c. Provide annual training and/or orientation to supervisors, as appropriate.
 - d. Act as the rating or reviewing official when required.

4. REVIEWING OFFICIAL (SECOND-LEVEL SUPERVISOR). The reviewing official shall:
 - a. Review, approve/disapprove, and/or modify performance plans at the beginning of the appraisal period, and at any time that substantive changes are made to the plan.
 - b. Review and provide final approval of ratings of record.

5. RATING OFFICIAL (FIRST-LEVEL SUPERVISOR). The rating official shall:
 - a. Establish a performance plan with each employee and approve the ILP at the beginning of the performance appraisal period.
 - b. Ensure employees understand their performance plans.

- c. Conduct formal conferences with employees, to include a mid-year review, and progress reviews as necessary.
- d. Evaluate performance and propose final ratings of record.
- e. Provide each employee with a copy of the final approved rating of record no later than 60 calendar days after the end of the employee's appraisal period.
- f. Initiate corrective action, which may include, but is not limited to, formal or on-the-job training, counseling, and closer supervision, as appropriate, when an employee's performance falls below "progressing" on any objective of the performance plan.
- g. Initiate a Performance Improvement Plan (PIP), in collaboration with the Labor Management Employee Relations specialist, for any employee with unacceptable performance on any goal rated "not meeting objective." The PIP will be based on the area(s) of deficiency.

6. DODEA EMPLOYEE. The DoDEA employee shall:

- a. Participate in the development of his or her performance plan.
- b. Participate in the mid-year review, progress reviews, and formal conferences.
- c. Develop an ILP in alignment with the DoDEA Community Strategic Plan (CSP) and the leadership objectives of the MAPA. (See Enclosure 3)
- d. Complete reflective self-assessments of their performance on the MAPA and their ILP in preparation for the mid-year review and end-of-year formal conference. (See Enclosure 3)

ENCLOSURE 2

PROCEDURES

1. APPRAISAL PERIOD

- a. The appraisal cycle begins July 1 and ends June 30 annually.
- b. An administrator must be in the position of record for a minimum period of 120 consecutive calendar days during the appraisal period under an approved MAPA and ILP to receive a rating of record.
- c. The regular appraisal period is one year, the minimum appraisal period is 120 calendar days.
- d. There shall be, at a minimum, one performance discussion during a performance appraisal period.

2. PERFORMANCE PLAN

- a. Individual performance plans shall be in writing, based on employee work assignments, and include the four performance goals with accompanying objectives and descriptors.
- b. Employee participation is required in establishing the ILP.
- c. Final authority for developing the performance plan rests with the rating official (first-level supervisor).
- d. Performance plans shall be reviewed and approved at the beginning of the appraisal period by the rating and reviewing officials.
- e. Employees will be provided a copy of their written performance plan within 30 calendar days after the beginning of their appraisal period.
- f. The performance plan must include, at a minimum, one critical element, and describe fully successful and unacceptable rating levels.
- h. Non-critical elements are optional.

3. APPRAISAL OF PERFORMANCE ON DETAILS

- a. When an individual is detailed or temporarily promoted, with an expected duration of 120 calendar days or longer, the new rating official shall provide a written performance plan to the

employee as soon as possible, but no later than 30 calendar days after the beginning of the job change.

b. Ratings of the performance goals must be prepared for details and temporary promotions and must be considered in deriving the employee's rating of record. The rating of record should be prepared by the employee's permanent supervisor.

4. PROGRESS REVIEWS

a. Formal conferences between supervisors and administrators will occur annually, with a minimum of three meetings a year, to include a mid-year review conducted in January. Additional conferences will be considered for new administrators and administrators assigned to new districts, different grade configurations, and unique school environments. Additional progress reviews may be conducted as determined by the rating official.

b. Employees shall be provided with a formative assessment and informed of their level of performance by comparison to the criteria in the MAPA rubrics.

c. If at any time during the appraisal period an employee's performance becomes unacceptable, meaning the employee is rated "not meeting objective" in one or more of the objectives of the MAPA, the rating official will initiate appropriate corrective action designed to assist the employee to improve performance to an acceptable level.

d. Employees shall be provided assistance when performance is below the "progressing" but above "not meeting objective" in one or more elements.

5. SUMMARY RATING

a. A rating is assessed for each objective of the performance plan. The four levels of rating are exemplary, proficient, progressing, and not meeting the objective. The ratings are combined to create a summative evaluation using the summative rating guide annotated on the MAPA Scoring Sheet. The ratings correspond to a 5-4-3-1 scoring arrangement. The summary rating will be based on performance in all elements.

b. A written rating of record must be given to each employee no later than 30 calendar days after the end of the appraisal period.

c. Ratings of record and performance-based actions shall be reviewed and approved by the reviewing official (second-level supervisor). Ratings of record may not be communicated to employees prior to approval by the reviewing official. Ratings of record must be based on the evaluation of actual job performance for the designated appraisal period. Forced distribution of summary ratings is not allowed.

d. Employees may present dissatisfaction with ratings of record through administrative grievance procedures.

e. When a rating of record cannot be prepared at the end of the appraisal period, the appraisal period shall be extended for the amount of time necessary to meet the minimum appraisal period, at which time a rating of record shall be prepared.

f. Distinctions based on performance may be allowable for other purposes.

(1) A rating must be postponed until an employee who was appointed, reassigned, promoted, or demoted has been on duty in the position for at least 120 calendar days.

(2) A rating may also be postponed when:

(a) The rating official has been on duty for less than 120 calendar days;

(b) A warning of unacceptable performance has been issued; or

(c) An adverse action is pending.

(3) A rating should not be postponed for more than 120 calendar days.

g. When an employee's regular appraisal period or an extended appraisal period ends, and the 60 day deadline for providing ratings of record passes or a subsequent rating of record is issued, DoDEA shall not produce or retroactively change a rating of record that covers that earlier appraisal period.

h. Performance award guidance pertaining to the range of payouts for performance awards for the rating period will be published annually. Performance awards will not exceed the above guidance.

ENCLOSURE 3

INDIVIDUAL LEADERSHIP PLAN

The purpose of the ILP is to promote continuous and sustainable improvement as an administrator. The ILP is aligned to the DoDEA CSP and the leadership objectives of the MAPA. The professional development planning and execution of the ILP supports daily responsibilities of the administrator.

1. ILP OBJECTIVE

- a. The objective must reflect progressing and fostering continuous growth as an administrator.
- b. The rating official (first-level supervisor) must approve the objective of the ILP.
- c. Objectives must be written in the SMART format: S = specific, M = measurable, A = attainable, R = results-focused, T = timely.
- d. Documentation should be maintained by the administrator to provide evidence of activities used to achieve the objective.
- e. The administrator will complete a reflective self-assessment of the ILP objective in preparation for the mid-year review and end-of-year conference.

2. REFLECTIVE SELF-ASSESSMENT

- a. In a written document, the administrator should respond to the following questions regarding the progress of the objective.
 - (1) How did the objective help to improve your responsibilities as an administrator?
 - (2) How does the objective impact your staff and students?
 - (3) What have you learned that you will share with others?
 - (4) What are the results of your objective?
- b. At the time of the mid-year review and end-of-year conference, the supervisor and administrator may decide to continue with the objective or explore additional avenues for professional growth.

INDIVIDUAL LEADERSHIP PLAN

	Goal	S = Specific
	Data used to assess or measure effectiveness	M = Measurable
	Resources/strategies /research support to achieve goal	A = Attainable
	Impact on student achievement	R = Results focused
	Timeline	T = Timely

REQUIRED CONFERENCES:

Initial Goal Setting _____
Administrator: _____
Supervisor: _____

Mid Year Review _____
Administrator: _____
Supervisor: _____

End of Year Review _____
Administrator: _____
Supervisor: _____

ADDITIONAL CONFERENCES:

_____ Date: _____
Administrator: _____
Supervisor: _____

_____ Date: _____
Administrator: _____
Supervisor: _____

_____ Date: _____
Administrator: _____
Supervisor: _____

Comments:

RECOMMENDATION:

- _____ Continue Current Plan
- _____ Modify Existing Plan
- _____ Design New Plan

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

CSP	Community Strategic Plan
DoDDS	Department of Defense Dependents Schools
DDESS	Domestic Dependent Elementary and Secondary Schools
DoDEA	Department of Defense Education Activity
ILP	Individual Leadership Plan
MAPA	Multidimensional Administrative Performance Appraisal
PIP	Performance Improvement Plan

PART II. DEFINITIONS

exemplary. This designation represents a level that indicates the administrator meets the rigorous and challenging expectations of proficient performance with implications that impact and benefit a broader base than the school environment.

formative assessment. Interim assessments that take place during the process of learning and/or instruction. A formative assessment is intended to give a snapshot of where an individual is in terms of performance at a given point in time. It also serves to inform the instructional process.

goal. A targeted area aligned to the DoDEA CSP.

not meeting objective. This designation represents a level that is unacceptable and requires immediate attention and intervention. Failure of an administrator to show improvement over a specified period of time will result in consequences that may lead to removal.

objective. The focused area(s) of each goal that describe specific responsibilities measured by levels of competency.

proficient. This designation represents a level that indicates the administrator displays a high degree of skill and accomplishment toward meeting a particular goal. It signifies the administrator is meeting DoDEA's high expectations for performance.

progressing. This designation represents a level that indicates the administrator demonstrates effort. There is limited evidence that skills and attributes of proficiency have become established in meeting DoDEA's expectations for performance.

summative evaluation. The final evaluation that occurs at the conclusion of a rating cycle.