

TOTAL ARMY PERFORMANCE EVALUATION SYSTEM

AR 690-400, Chapter 4302



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AGENDA

- **References**
- **Goals**
- **Rating Schedule**
- **General TAPES Information**
- **Leadership Obligations and Ratee Expectations**
- **Appraisal Process**
- **Special Situations**
- **Common Errors**



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References

- **References:**

- **AR 690-400, Chapter 4302, Total Army Performance Evaluation System, 16 October 1998.**
- **DA Pamphlet 690-400, Total Army Performance Evaluation System (TAPES) (Chapter 4302).**

- **Forms:**

- **Senior System Civilian Evaluation Report Support Form (DA Form 7222), and Senior System Evaluation Report (DA Form 7222-1).**
- **Base System Civilian Performance Counseling Checklist/Record (DA Form 7223), and Base System Civilian Evaluation Report (DA Form 7223-1).**



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TAPES Goals

- **Improve civilian evaluation system**
- **Communicate organizational goals and priorities, and Army values and ethics to employees**
- **Enhance civilian professional/leader development**
- **Empower employees**
- **Enhance total Army culture – all members of the Army team**
- **Facilitate mutual understanding/frequent discussion**
- **Emphasize shared values**
- **Support Total Army Quality**



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Responsibilities

- **Commanders at all activity levels must:**
 - **Ensure fair and consistent application of TAPES provisions**
 - **Develop and communicate organizational goals and priorities**
 - **Assist in developing individual or group goals and expectations**
 - **Discuss and exhibit DA values and ethics**
 - **Ensure Rates are informed of the individuals in their rating chains and of their annual rating cycles**
 - **Ensure that all supervisors of civilian employees receive adequate training concerning the performance appraisal system**
 - **Ensure timely preparation of written performance plans and completed performance appraisals.**
 - **Monitor the performance management program.**



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TAPES Primary Emphasis

- **Base System**
 - **Simplicity through Standardization**
 - **Periodic Counseling**
 - **Training/Development**
- **Senior System**
 - **Objective Setting**
 - **Professional Development**
- **Both Systems**
 - **Link Tasks to Mission**
 - **Ratee Input**



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Purpose

- **Performance management is the systematic process of integrating performance, pay, and awards systems to improve individual and organizational effectiveness in the accomplishment of Army mission and goals.**



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Responsibilities (cont)

- **Senior Raters must:**
 - **Communicate goals, set standards of performance, and make DA values and ethics visible**
 - **Assess individual contributions in the broader perspective of overall mission accomplishment**
 - **Review and approve performance plans at least at the beginning of each rating period and when major changes to expectations occur**
 - **Review performance appraisals and assign ratings in a timely manner, assuring accuracy and compliance with requirements**
 - **Make supportable statements about Ratee's performance and potential**
 - **Resolve disagreements between Raters and Intermediate Raters**
 - **Consider performance appraisals and ratings when making personnel management and pay decisions**



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Responsibilities (cont)

- **Intermediate Raters must:**
 - **Communicate goals, exhibit DA values and ethics, and review individual performance plans and subsequent appraisals to ensure they accurately reflect mission needs and individual accomplishments**
 - **Review and recommend approval of performance plans at the beginning of each rating period and when major changes to expectations occur**
 - **Review performance appraisals in a timely manner, either concurring with the proposed ratings or seeking resolution of the disagreement**



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Responsibilities (cont)

- **Raters must:**
 - **Assign work, and either assist Ratees in or establish job-related expectations**
 - **Provide information to and obtain feedback from Ratees on DA values and ethics, work unit goals and priorities, performance, and professional development plans**
 - **Identify rating chains to Ratees**
 - **Communicate organizational goals and priorities to Ratees**
 - **Develop Ratee performance plans for each rating period**
 - **Discuss DA values and ethics with Ratees**
 - **Conduct formal performance-related discussions at the midpoint of each rating period**
 - **Prepare timely written performance appraisals**
 - **Use performance appraisals in making sound, equitable personnel decisions**



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Responsibilities (cont)

- **Ratees must:**
 - **Learn what is expected of them**
 - **Discuss their ideas about work, Army values, and professional development with Raters**
 - **Perform to the best of their ability**
 - **Take appropriate roles in developing their performance and professional development plans**
 - **Try to do their work right – inform their rating chains when they have questions and/or needs, when problems occur, and when they believe work could be done better**
 - **Provide rating chains with timely feedback on their accomplishments**



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Responsibilities (cont)

- **Civilian Personnel Offices must:**
 - **Support the command in implementing and administering viable and constructive performance management programs**
 - **Advise and assist supervisors in executing their daily performance management responsibilities**
 - **Keep commanders informed of program status and needed program improvements**
 - **Train or arrange training for supervisors and disseminate information to employees concerning the performance management system**
 - **Input performance rating data into the Modern Defense Civilian Personnel Data System (MDCPDS) and file annual performance appraisals in individual Official Personnel Folders**



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Performance Management Linkage

- **Supervisors and managers will consider performance appraisals and ratings when adjusting base pay and determining performance awards, training, rewarding, reassigning, promoting, reducing in grade, reduction in force, and retaining and removing employees.**



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Performance Counseling

- **Talk with Ratee face-to-face**
- **Explain Job Requirements/Performance Standards**
- **Be as clear as possible about what you say**
- **Listen carefully to what the Ratee says**
- **Determine Training Needs**
- **Promote Successful Performance**
- **Discuss DA Values**
- **Involve/Develop Ratee**
- **Talk as often as needed to clarify issues**



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Performance Evaluation

- **Assess Performance**
- **Reinforce Values**
- **Discuss Potential**
- **Document Performance Awards/QSIs**



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Rating Schedules

Senior System

GS/GM/WS 13 -15

1 Jul - 30 Jun

GS/WS 9 – 12/Career Interns

1 Nov - 31 Oct

Base System

GS/WS 8 and below,
and WG and WL

1 Nov - 31 Oct



Reports due in CPAC 45 days after rating period ends.

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Career Interns

- **Interns are rated under the Senior System. They will be rated after a 6-month period beginning o/a their EOD dates. (This first semi-annual rating is a special rating.) One year after EOD Interns will receive their first annual rating. Thereafter, they will continue on their EOD-based rating cycle until they complete the Intern Program, then they will be phased into the DA cyclic rating schedule using the procedures for employees whose annual rating cycle dates change.**



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General TAPES Information

- **Civilian Evaluation Report** - - An overall rating of the employee's performance of assigned performance objectives/responsibilities. The rating period is usually 12 months.
- **Performance objective/responsibility** - -
 - A major duty of such importance that unacceptable performance would result in a determination that overall performance in the job is unacceptable.
 - Includes an expression of the performance expectation (standard) at the fully successful level that is measurable, attainable, and challenging.



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TAPES – Benefits to the Rater

- **Better performance/motivation/morale**
- **Enhanced mission accomplishment**
- **Rater/Ratee Partnership**
- **Less misunderstanding/fewer formal complaints**



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TAPES – Benefits to Ratees

- **Clearer picture of expectations**
- **Improved Rater/Ratee relationship**
- **Better opportunity to excel and grow**



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Leadership and Ratee Roles

- **Raters - -**

- Let the Ratee know the rating chain
- Explain Ratee's role on the organization's mission
- Define performance objectives
- Provide feedback on performance - - at least at the mid-point
- Review training needs and complete IDP
- Discuss career goals and planning
- Provide timely evaluation reports

- **Ratees - -**

- Know office mission and job duties
- Understand job requirements and/or request clarifications
- Actively participate in performance evaluation discussions, IDP preparation, career planning, and project planning
- Carry-out performance plan and provide regular feedback to the rater



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The Appraisal Process

- **Initial counseling to be completed within 30 days of the beginning of the rating period - -**
 - Explain rating chain, and discuss the position description and mission.
 - Review pre-established responsibilities/standards for Base System employees to assure understanding of expectations. Supplement as required.
 - Develop performance objectives with input from Senior System employees.
 - Usually no more than 5 to 7 objectives.
 - Should be measurable, attainable, challenging, and of similar importance.
 - Discuss the Army values.
 - Determine training needs and complete the IDP.
 - Ratee and Rater initial form. Senior Rater initials/approval not required.



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Developing Performance Objectives

PERFORMANCE OBJECTIVES AND RELATIONSHIPS

- **Mission statement**
- **Vision statement**
- **Functional statements (directorate/division level)**
- **Job description**
- **Performance objectives/responsibilities**



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Developing Performance Objectives (cont.)

GUIDELINES

- Should be *consistent* with job description and support mission and vision.
- *All objectives* are critical; therefore, failure in an objective is failure in the job.
- Objectives should have the *same relative importance*; require the same level of effort to achieve results - - same relative importance.
- Should be specific, measurable, attainable, realistic, time-bound, and meaningful.



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Developing Performance Objectives (cont.)

PERFORMANCE INDICATORS

- **Quantity** - **Completes 25 reports.**
- **Quality** - **Completes 25 reports with no more than 2 corrective actions.**
- **Timeliness** - **Completes 25 reports per week.**
- **Results oriented** - **Assures all reports are completed error free and ready for dispatch by_____**



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Developing Performance Objectives (cont.)

PERFORMANCE INDICATORS (Cont)

- **Process oriented** - Assures all reports are processed through a sequence of prescribed steps.
- **Efficiency** - Measures transaction or production cost such as unit cost per output.
- **Financial indicators** - Receipt, collection, and credit obligation rates.



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Developing Performance Objectives (cont.)

WAYS TO EXPRESS OBJECTIVES

- **Absolute** - **No errors permitted; usually not an acceptable standard.**

Examples: One plane crash is failure (acceptable);
no typing errors (not acceptable).

- **Percentages** - **Sometimes difficult to administer.**

Example: 95% error free.

- **Ranges** - **Recognizes range of acceptable performance.**

Example: Accomplishes between 30 and 35
reports per week.



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Developing Performance Objectives (cont.)

WAYS TO EXPRESS OBJECTIVES (Cont)

- **Not more than/not less than/not to exceed -**
 - Example: Completes reports with no more than 3 returned due to errors.
- **By reference to standard or policy -**
 - Example: Completes review in accordance with provisions in para X, AR XX-XXX



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During the Rating Period

- **During the rating period - -**
 - Rater/Ratee review checklist/support form to determine
 - What responsibilities/objectives have changed to make revisions;
 - What has been accomplished and needs to be done;
 - And IDP training needs accomplishments and changers.
 - Make pen and ink changes to checklist/support form, as necessary
 - Provide feedback to Ratee on performance to mid-point - review objectives and overall rating criteria to coach/counsel.
 - Ratee and Rater initial the form.



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Objective Ratings

- Used to evaluate each performance objective/responsibility.
 - **EXCELLENCE**. *Consistently* exceeds level described by the standards and documented expectations; *Frequently* produces more and/or better than expected.
 - **SUCCESS**. *Usually* performs at the level described by the standards and documented expectations. Quality/quantity of accomplishments are generally at expected levels. Strengths clearly outweigh weaknesses.
 - **NEEDS IMPROVEMENT**. *Sometimes* performs at the level described by the standards and documented expectations. However, fails enough so that weaknesses slightly outweigh strengths.
 - **FAILS**. *Frequently* fails to perform at levels described by standards and documented expectations. *Rarely* achieves expected results. Weaknesses clearly outweigh strengths.
 - **NOT RATED**. May be rendered when employee has not had an opportunity to perform.



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Overall Rating Formulas

- **Successful Level 1** - Excellence in 75% or more of objectives (Senior) or 3 or more responsibilities (Base). Supervisor excellence in both leadership and EEO.
- **Successful Level 2** - Excellence in 25 - 74% of objectives (Senior) , or 1 or 2 responsibilities (Base). Supervisor excellence in leadership or EEO.
- **Successful Level 3** - Success in all objectives, or excellence in no more than 24% of objectives. Supervisor with success in leadership or EEO.



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Overall Rating Formulas (cont)

- **Fair** - Needs improvement in 1 or more objectives/responsibilities.
- **Unsuccessful** - Fails in 1 or more objectives/responsibilities.



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At the End of the Rating Period

- **Rater - -**

- Approves ratings of Successful Levels 2 and 3 and Fair; higher level review required (except commanders) for Successful Level 1 and Unsuccessful ratings.
- Coordinates proposed ratings of Successful Level 1 and Unsuccessful ratings with Senior Rater before discussions with Ratee.
- Completes the evaluation report using the checklist/support form, and input from the Ratee. Ratee may be asked to provide element ratings (e.g., excellence, success) and explanation for rating input.
- Completes base system responsibility ratings on evaluation report, and annotates element ratings on the senior system support form.
- Uses overall rating formulas to determine the final rating.
- Reviews and develops new checklist/support form and IDP.



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Special Situations

- **Special Appraisal - -**
 - When temporarily detailed or promoted for 120 or more days in a rating period.
 - When Rater or Ratee leaves the organization after 120 days under a performance plan, except if in the last 120 days of the rating period - - then earlier annual evaluation report, or
 - Information considered when completing the annual appraisal.
- **Probationary or Trial Periods - -**
 - **New employees.** Used to evaluate performance, conduct and general character traits.
 - **New supervisors and managers.** Up to 12-month rating period to evaluate a new appointee on supervisory or managerial responsibilities. An unsatisfactory determination will result in the employee's being returned to a non-supervisory /non-managerial position.
 - **No right to appeal or grieve determinations**
 - **Closer supervision and performance/conduct reviews monthly**



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Special Situations (cont.)

- **Inability to rate - -**
 - Extend the rating period to achieve the minimum 120 days under a support form/checklist and rate the employee.
 - In the meantime, the most recent rating will remain in effect.



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Performance Problems

- **When do you deal with a performance problem?** - - At any time when routine counseling and coaching efforts have not been successful. The extent of the performance problem falls in one of the following categories:
 - **Performance which “Needs Improvement”** - - A determination that an employee’s performance in one or more performance objectives/responsibilities *sometimes does not meet the standard(s)*. Ratee should be notified of this determination and receive closer supervision via an unstructured performance improvement plan (PIP). May result in reassignment.
 - **Performance which “Fails”** - - A determination that an employee’s performance in one or more performance objectives/responsibilities *frequently fails to meet the standard(s)*. Ratee should be placed on a PIP. Failure to improve to above the Fails level requires reassignment, demotion or removal.



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Performance Problems (cont.)

- **What is a PIP?** - - A PIP is an opportunity period with special assistance: more definitive standards and training as necessary, and regular counseling sessions. If the PIP results are unsuccessful, the employee must be reassigned, demoted or removed. The PIP usually lasts about 90 days, sometimes for longer or shorter periods depending on the type of job and the work cycle.
- **Documentation required for a PIP.** More specific performance measures and directions may be necessary; at least bi-weekly counseling sessions are recommended with memorandums documenting discussions.



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Dealing with Individual Performance Problems

- **TAPES is designed for the vast majority of Army civilians who are good performers who have the skills and willingness to do their jobs, and who need only organizational mission/goals direction to be successful.**
- **However, occasional exceptions make addressing performance deficiencies and taking performance based actions important aspects of sound performance management. Your Civilian Personnel office representatives will assist you in applying the procedures.**



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Dealing with Individual Performance Problems (cont)

- **Law (5 USC 4302) requires performance standards which “to the maximum extent feasible” permit accurate evaluation of job performance on the basis of objective criteria. The Office of Personnel Management advises that while performance standards should be as objective as possible, they should not replace management judgment. Courts have said that a proper measure to judge if a standard is sufficient is whether most people would understand what it means and what it requires.**



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Dealing with Individual Performance Problems (cont)

- **The Courts and the Merit System Protection Board have identified three deficiencies which cause them to rule that performance standards fall short of statutory requirements:**
 - 1) Not reasonably attainable
 - 2) Improperly absolute (cannot be exceeded)
 - 3) Do not permit an accurate measurement of an employee's level of performance or tell the employee clearly what is required for success



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Dealing with Individual Performance Problems (cont)

- **TAPES provides generic performance standards which, coupled with the Position Description and specific mission related expectations set forth either during counseling or objective setting sessions, should tell Ratees what you expect for success.**
- **However, if you supervise someone who is not meeting expectations, especially if you invoke a formal Performance Improvement Plan, you may need to supplement the TAPES documentation to more clearly state what is required to improve from “fails” to “needs improvement” to “success”.**



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Base System Evaluation Report DA Form 7223

- **Part I – Administrative**
 - Identifies Ratee/rating period
- **Part II – Authentication**
 - Rating chain/new terms
- **Part III – Awards Nomination and Approval**
 - Rater nominates the Ratee for a performance award/QSI
 - Replaces DA Form 1256, Incentive Awards Nomination and Approval
 - No award information may be shown on the original



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Base System Evaluation Report DA Form 7223 – (cont.)

- **Part IV – Duty Description, completed by Rater**
 - Certify position description accuracy
 - Summarized duty description
 - Areas of special emphasis
 - Counseling dates
- **Part Va – DA Values, completed by Rater**
 - Bullet narrative – encouraged but not mandatory
 - Not used in formula to derive Overall Performance Rating



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Base System Evaluation Report DA Form 7223 – (cont.)

- **Part Vb – Responsibilities, completed by Rater**
 - **List responsibilities**
 - **Write bullet examples of what the Ratee did**
 - **Must give examples of work for block checks other than SUCCESS. Bullet examples are optional blocks checked SUCCESS.**
 - **Rater sends the proposed evaluation with the Counseling Checklist/Record to the next-level Rater.**



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Base System Evaluation Report

Senior Rater

- **Part VI, DA Form 7223 – Overall Performance**
 - **Bullet Comments**
 - **Performance**
 - **Potential**
 - **Final Authority**
 - **Overall Performance Ratings derived from responsibilities ratings**



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How Rater Derives Responsibility Rating Using Performance Standards (Example)

- **Ratee, GS-6 Secretary**
- **Selects responsibility to rate (e.g., technical competence)**
- **Asks which tasks the ratee performed that required technical competence**
 - Prepared correspondence, reviewed correspondence, made logistical arrangements for meetings, arranged travel, and received visitors and callers
- **Applies performance standards**
 - How often did Ratee do better than, as well as, not as well as the “Success” level described by performance standards for technical competence?
- **Checks responsibility rating block – Excellence, Success, Needs Improvement, Fails**



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Senior System Evaluation Report DA Form 7222

- **Part I – Administrative**
 - Identifies the Ratee and the rating period
- **Part II – Authentication**
 - Authenticates the rating chain
 - Listed in correct signing sequence – Rater, Intermediate Rater (optional), Senior Rater, and then the Ratee
- **Part III – Performance Award/QSI Nomination and Approval**
 - Replaces DA Form 1256 for recording/processing performance-related awards. Only the front page of the Evaluation Report, with the fund cite recorded, is sent to the Finance office in accordance with local procedures.



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Senior System Evaluation Report DA Form 7222 – (cont)

- **Part IV – Duty Description – completed by Rater**
 - Certify Position Description accuracy
 - Summarized Duty Description
 - Copied from Support Form
- **Part V – DA Values – completed by Rater**
 - Bullet narrative – encouraged but not mandatory
 - Not used in formula to derive overall performance rating
- **Part VI – Performance Evaluation – completed by Rater**
 - Decides which objectives will be rated and applies appropriate standards
 - Writes bullet examples of achievements



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Senior System Evaluation Report DA Form 7222 – (cont)

- **Part VII – Intermediate Rater**
- **Part VIII – Senior Rater**
 - **Reviews objectives ratings/examples**
 - **If concurs, assigns overall performance rating**
 - **If nonconcurr, makes adjustments**
 - **Makes bullet comments – performance/potential**



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How Rater Derives Objectives Rating Using Performance Standards

- **Example – Supervisory Transportation Specialist, GM-2130-13**
 - Selects objective to be rated
 - Identifies applicable performance standards
 - Applies performance standards
 - Assigns objective rating
 - Repeats procedure until all objectives are rated
- **Note: Managerial/supervisory Ratees must be rated “Excellence” in 25% or more of their objectives (including those for Organizational Management/Leadership or EEO/AA) in order to receive an overall performance rating above Successful Level 3.**



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Common Errors

- **Date missing by signatures**
- **Objectives not individually rated with exceeded or met**
- **SSN is incorrect**
- **Overall rating not marked**
- **Tapes Regulation and Forms are located at:**

<http://www.gordon.army.mil/dhr/mer.htm>



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