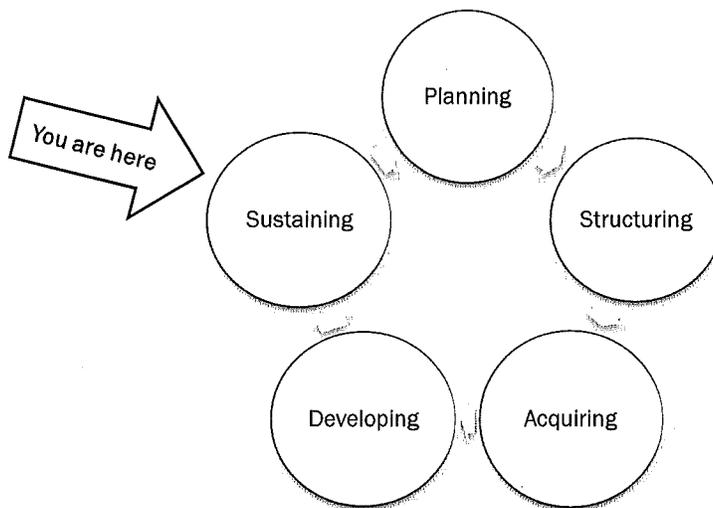


**MODULE 5**  
**WORLD OF 3**  
**SUSTAINING**  
**2021/11/14/0**

**Performance Management**

1

**CHRM LIFE CYCLE**



2

## OBJECTIVES

After completion of this section, you will be able to:

1. Describe the 5 key processes of a performance management program.
2. Explain the two different systems under TAPES and their rating cycles.
3. Describe a written performance plan and the forms used in the TAPES performance management system.
4. Explain why performance planning is an important part of the performance management process.
5. Explain the importance of maintaining records of your employee's performance throughout the year.

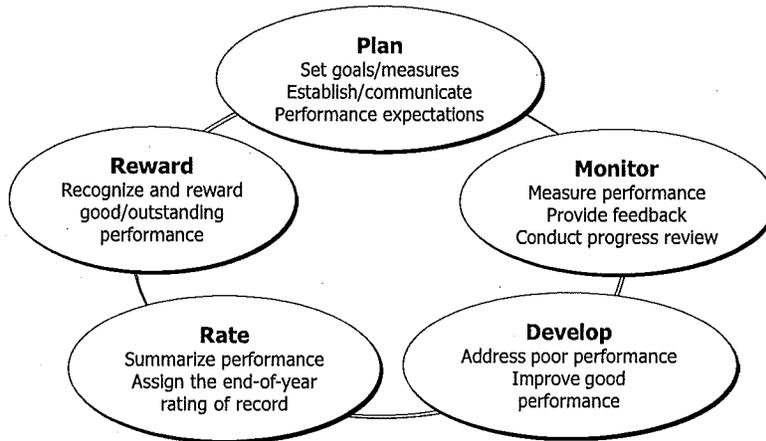
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## OBJECTIVES (CONT)

6. Describe the purpose of the mid-point counseling and what should be covered during that review.
7. Describe some of the requirements of addressing poor performance.
8. Identify the importance and use of an Individual Development Plan (IDP).
9. Identify the two forms used in TAPES for the written performance appraisal.
10. Describe how to calculate overall rating formulas in the TAPES Base and Senior Systems.
11. Identify the various tools available to supervisors to recognize, reward and motivate employees.

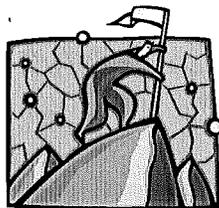
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## Five Key Processes of Performance Management



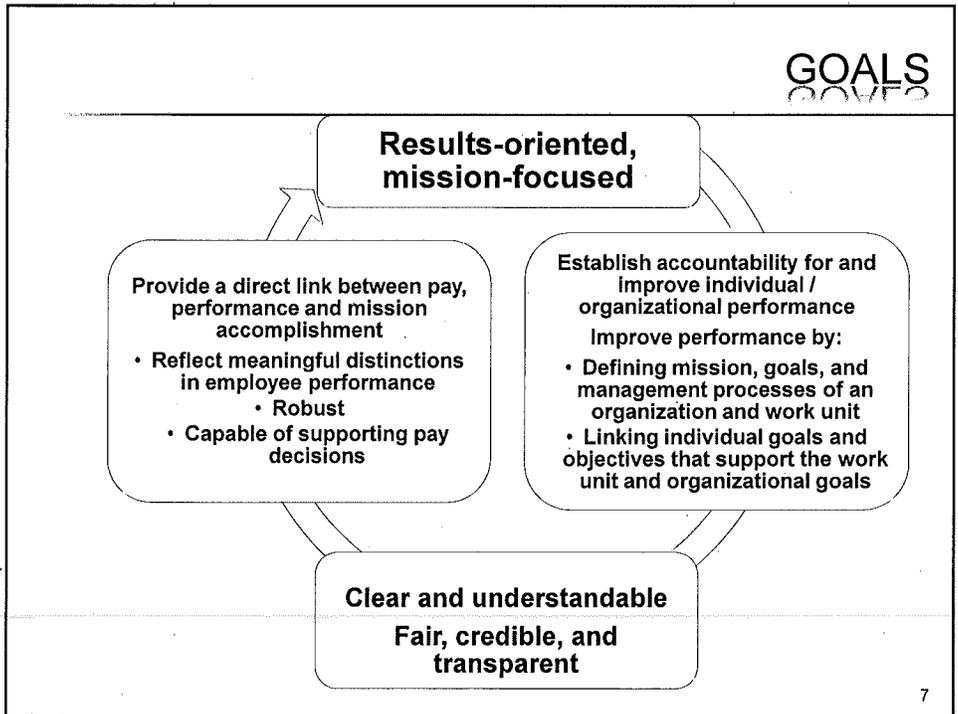
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## Definition



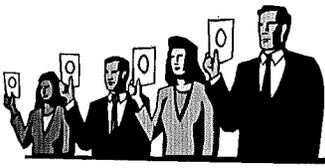
Performance management is the systematic process of integrating performance, pay, and awards systems to improve individual and organizational effectiveness in the accomplishment of Army mission and goals.

6



**Why is Performance  
Evaluation so difficult to do?**

**...Involves the inherently subjective and  
inexact process of one human being  
assessing the work accomplishment  
of another...**



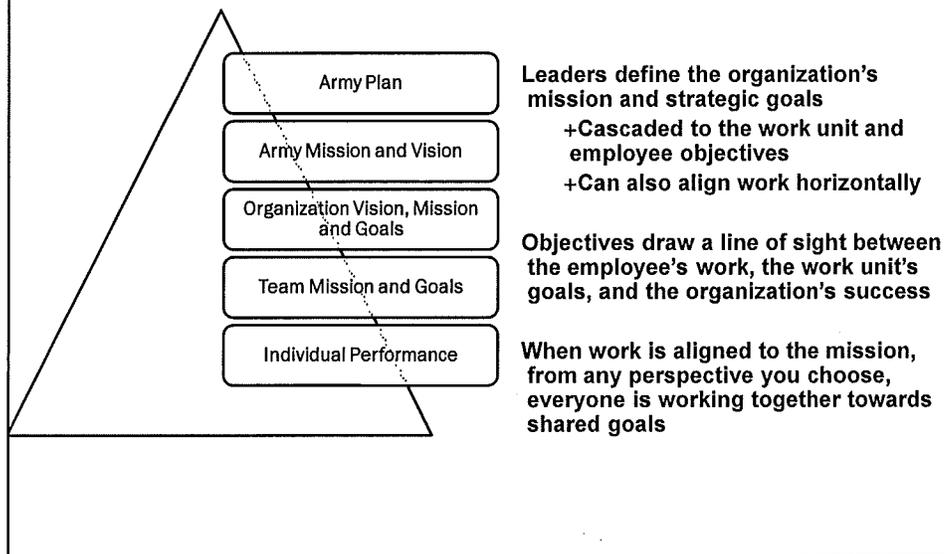
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## Performance Management Linkage

- Compensation (WIGIs)
- Training/Career Development
- Within-Grade Increases
- Awards for Performance
- Promotions
- Probationary and Trial Periods
- Reductions in Force
- PIPs, Reassignments, Reduction in Grade or Removals



## ALIGNING WORK TO MISSION



# EMPHASIZE ARMY VALUES

Loyalty	• Bear true faith and allegiance to the U.S. Constitution, the Army, your unit and other Soldiers
Duty	• Fulfill your obligations
Respect	• Treat people as they should be treated
Selfless Service	• Put the welfare of the Nation, the Army and subordinates before your own
Honor	• Live up to all the Army values
Integrity	• Do what's right - legally and morally
Personal Courage	• Face fear, danger or adversity (physical or moral courage)

### Rating Officials will

- Discuss values / ethics with employees
- Document positive aspects of Army values in the annual performance appraisal

## Laws, Regulations, and Guidance

### Total Army Performance Evaluation System

- Title 5 USC Chapter 43
- 5 CFR Part 430
- DoD 1400.25 Subchapter 430
- AR 690-400 Chapter 4302

# **TAPES**

## **TOTAL ARMY PERFORMANCE EVALUATION SYSTEM**

**AR 690-400  
Chapter 4302**

<http://cpol.army.mil/library/permis/52.html>

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## **TAPES Objectives**

Designed to improve Total Army performance by:

- Communicating organizational goals and priorities, and Army values and ethics to employees
- Establishing individual expectations for performance that reflect organizational goals and priorities
- Facilitating frequent discussion among the rated and rating chain about performance and expectations
- Providing an environment where all employees understand they are part of the Army team
- Requiring annual written individual performance evaluations

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## TAPES Responsibilities

Specific roles and responsibilities for those in positions of leadership as well as those being rated:

1. Commanders
2. Senior Raters
3. Intermediate Raters
4. Raters
5. Ratees
6. Civilian Personnel Advisory Centers



16

## TAPES Responsibilities

Commanders:

- Ensure fair, consistent and timely application of the performance management system
- Communicate organizational goals and priorities to assist in developing individual goals and priorities for employees
- Discuss and exhibit DA values and ethics
- Ensure employee are informed of their rating chains and cycles
- Ensure all involved receive adequate training

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## TAPES Responsibilities

### Senior Raters:

- Review and approve performance plans
- Review performance appraisals and assign ratings, ensure accuracy and timeliness
- Support ratee's performance and potential with statements based on personal knowledge and observation, or info provided by subordinate raters
- Resolve disagreements between raters and intermediate raters
- Consider performance appraisals and ratings when making personnel and pay decisions

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## TAPES Responsibilities

### Intermediate Raters (if used)

- Review and recommend the approval of performance plans to ensure accurate reflection of mission needs
- Review performance appraisals either concurring with, or seeking resolution of disagreement between rater and senior rater

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## TAPES Responsibilities

### Raters:

- Assign work and establish job-related expectations
- Identify rating chains to their employees
- Communicate organizational goals and priorities
- Develop performance plans to include individual goals and expectations
- Conduct formal performance-related discussion at mid-point and as necessary during rating period

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## TAPES Responsibilities

### Raters (cont):

- Provide informal feedback and receive employee input on expectations and accomplishments
- Modify performance plans as necessary to meet changing mission requirements
- Prepare timely written performance appraisals describing specific accomplishments
- Use performance appraisals and ratings to make sound, equitable personnel decisions

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## TAPES Responsibilities

### Ratee (Employee):

- Know what is expected and perform to the best of their ability
- Take appropriate roles to develop performance and professional development plans
- Inform rating chain when there are questions or needs
- Provide suggestions to improve work processes and procedures
- Provide rating chains with timely feedback on accomplishments

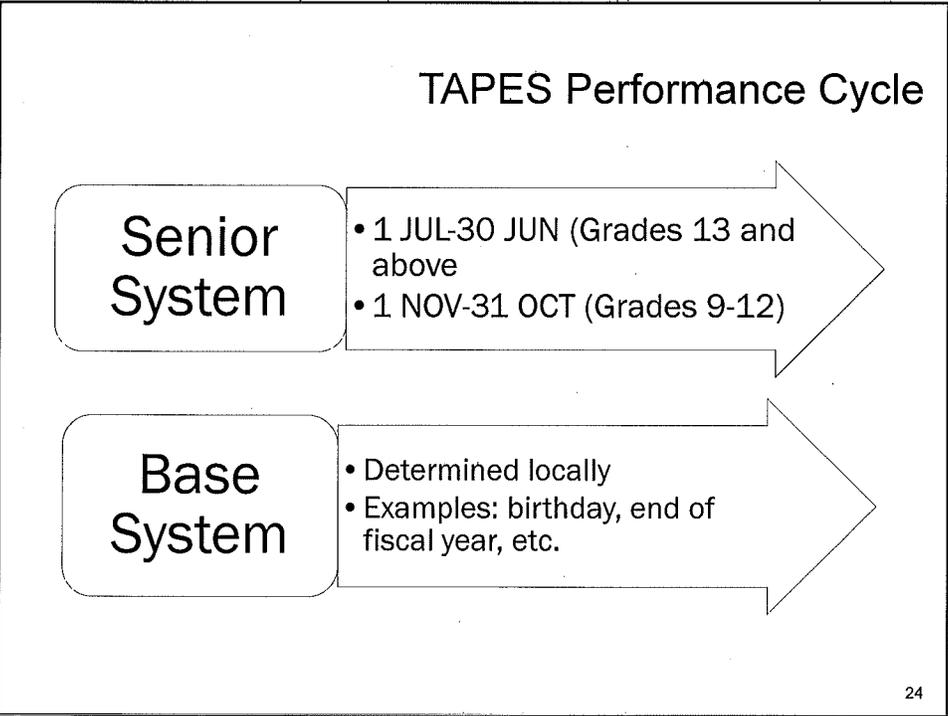
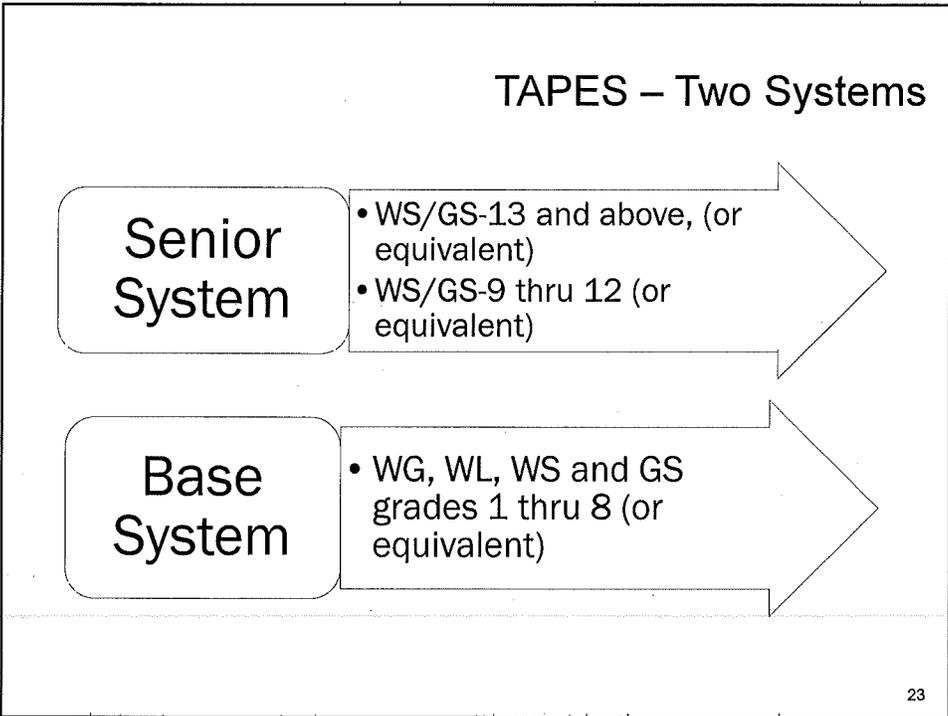
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## TAPES Responsibilities

### Civilian Personnel Advisory Centers:

- Support the command in implementing and administering a viable performance management program
- Advise and assist supervisors in executing their performance management responsibilities
- Keep leadership informed of the program's status and needed program improvements
- Train leaders, supervisors and employees in the performance management system
- Review, input and maintain rating data in appropriate systems and records

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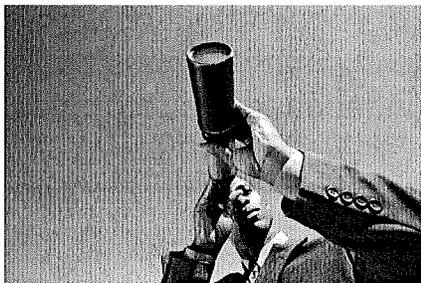


## TAPES Components

- Written Performance Plans documenting expectations based on organizational goals and mission
- Pre-established 12-month rating period based on grade
- Official rating chain consisting of at least a Rater and Senior Rater (Intermediate Rater is optional)
- Minimum rating period of 120 days under an approved performance plan
- Special requirements for certain positions - Supervisors, Contracting Officers, Security, Safety, etc.
- Written Performance Appraisals with objective/responsibility rating and overall rating

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## Performance Management Planning



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## Written Performance Plans

TAPES requires written performance plans:

- Documents expectations based on organizational mission and goals
- Joint effort between rating chain and employee
- In effect NLT 30 days of beginning of rating period
- Reviewed and approved by rating chain
- Mandatory midpoint counseling must be documented
- All responsibilities and objectives are critical
- Recorded on (and submitted with completed appraisals)
  - DA Form 7223-1 (Base System)
  - DA Form 7222-1 (Senior System)

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## PERFORMANCE PLANNING

At the beginning of the rating cycle

- Set performance goals to establish a mutual understanding of expectations with employee
- Not just written but regular conversations
- Shared understanding that becomes a basis for ongoing dialogue about performance
- Clear picture of what “success” looks like
- Sets the foundation for performance feedback throughout rating cycle and a basis for rendering a final rating at the end of the cycle

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## PERFORMANCE EXPECTATIONS

### **Performance expectations are:**

- Duties, responsibilities, and competencies required by, or objectives associated with, an employee's position
- Contributions and demonstrated competencies expected of an employee
- Communicated to the employee prior to holding employee accountable
- Promptly adjusted as changes occur

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## PERFORMANCE EXPECTATIONS (CONT)

### **Performance expectations must align with and support the DoD mission and goals and may include:**

- Goals or objectives that set performance targets at the individual, team, and/or organizational level
- Standard operating procedures, manuals, internal rules and directives, etc.
- Competencies an employee is expected to demonstrate, or the contributions an employee is expected to make
- Work assignments can be used to amplify performance expectations and may specify quality, quantity, accuracy, and/or timeliness

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## PREPARING FOR THE PERFORMANCE PLAN CONVERSATION

- Provide a copy of the organization's goals and the Agency's mission to your employee.
- Review performance standards issued by your organization.
- Review employee's performance goals from last year and the year-end evaluation.
- Consider your employee's developmental needs or interests.
- Anticipate any potential barriers to success or challenges.
- Document performance and behavioral expectations and include them in the discussion.
- Ask for, and consider, the employee's input

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## THE PERFORMANCE PLAN CONVERSATION

### **Purposes**

- To reach a joint understanding of performance expectations for the current (new) rating cycle
- To explain the organization's goals and to align employee objectives with these goals
- To establish timelines and measurement methods
- To identify developmental needs

### **Outcomes**

- Performance plan (formally established in writing)
- Development plan (Individual Development Plan)
- Conversation notes, other relative documentation

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## ESTABLISHING PERFORMANCE GOALS

Established at the beginning of the rating period using the SMART Framework

- ▶ **S**pecific - Clear and detailed
- ▶ **M**easurable – Observable and verifiable (quality/quantity)
- ▶ **A**chievable – Attainable but provides a challenge, aligned with organizational goals and mission
- ▶ **R**elevant – Significant to the job duties of the employee
- ▶ **T**ime-bound – Time-sensitive and measurable within the rating period

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## ESTABLISHING PERFORMANCE GOALS

Once established, use PURE and CLEAR as a second measure to verify the goals

- ▶ **P**ositively Stated – Avoid words like “don't, won't, not and never”, state what is expected instead of what is not expected or what is prohibited
- ▶ **U**nderstood – Clear to the employee, supervisor and anyone else in the chain of command
- ▶ **R**ealistic – Achievable given the time, resources and training
- ▶ **E**thical – Never ask employees to do anything unethical or against the Merit Systems Principles

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## ESTABLISHING PERFORMANCE GOALS

Once established, use PURE and CLEAR as a second measure to verify the goals

- ◆ **C**hallenging - Not too easy, provides a challenge
- ◆ **L**egal - Policies and procedures taken into account
- ◆ **E**nvironmentally Sound - Should not interfere with another's goals or with organizational mission
- ◆ **A**ppropriate – For the pay grade and level as well as the role to which the employee was hired
- ◆ **R**ecorded – Documented and kept throughout the length of the rating cycle

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## PERFORMANCE OBJECTIVES

### How to Write Performance Objectives

**Start with an action verb**

**Specify a single key result to be accomplished**

**Specify a target date for accomplishment**

**Be as measurable and verifiable as realistic and attainable while representing a challenge possible**

**Relates directly to employee's role and mission**

**Realistic and attainable while representing a challenge**

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## PERFORMANCE OBJECTIVES

### Types of Performance Objectives

**Routine – Addresses repetitive common place duties**

**Problem Solving – Deals with problem situations to produce favorable resolution**

**Innovative – Creates new or improved methods and processes and eliminates wasteful practices to achieve cost savings**

**Personal Development - Furthers professional education and growth**

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## JOB OBJECTIVES AND RESPONSIBILITIES

### **Job objectives and responsibilities are:**

- \* A way to capture performance goals and expectations
- \* The platform by which employees are rated
- \* A way for managers and supervisors to communicate the major work that needs to be accomplished
- \* Required to be aligned with (clearly tied to) organizational goals and the DoD mission
  - \* When communicating job objectives to employees, supervisors need to fully explain the relationship between an employee's accomplishments and achieving organizational goals
  - \* You may have excellent employees whose work, although outstanding, is not furthering the organization's mission and goals.

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## EFFECTIVE JOB OBJECTIVES AND RESPONSIBILITIES

- **Performance focus**
  - Objectives should be crafted to bring out the best in individual and team performance
  - They can help keep the focus on the important tasks, not on many needless activities
- **Alignment with the organization**
  - Objectives must make sense in the context of the organization
  - Individual objectives must align with the organization's goals and/or mission
- **Appraisal/management tool**
  - Objectives should not only drive the work, they also serve as a method to assess accomplishments
  - They are used as an appraisal tool at the end of the performance management cycle

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## PERFORMANCE OBJECTIVES

### Major Deficiencies in Performance Objectives

**Standards that are not reasonably attainable or objective**

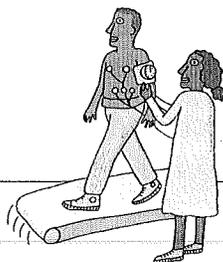
**Standards that are improperly absolute (cannot be exceeded or no room for error)**

**Standards that do not permit an accurate measurement of an employee's level of performance**

**Standards that do not clearly tell an employee what is required for success**

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## PERFORMANCE MANAGEMENT: MONITORING



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## MONITORING PERFORMANCE

Throughout the performance cycle:

- Employee is working towards accomplishing the established objectives
- Supervisor is monitoring employee performance and providing assistance, feedback, and direction as needed
- Supervisor engages in frequent performance discussions
- Supervisor documents employee performance and encourages employees to do the same

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## ONGOING FEEDBACK

Critical to provide frequent and constructive feedback:

- ✦ First, make sure employees know what to expect!
- ✦ Feedback is best shared in real-time, don't wait
- ✦ Positive feedback provides kudos for a job well done or recognition of a good effort, which reinforces the desired behavior or action
  - + Remember to express your appreciation
- ✦ Negative feedback cites undesirable results and behaviors to be improved upon, offers alternative methods or ideas for achieving more desirable results
  - + Remember to express your concern and offer suggestions

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## EMPLOYEE ACCOUNTABILITY

Hold employees accountable for their performance by requiring them to plan, discuss and document, this will lead to:

- Improved performance
- Better employee participation
- Increased feeling of competency
- Higher commitment to work
- Fostered creativity and innovation
- Higher employee morale
- Greater satisfaction with their work

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## MONITORING PERFORMANCE CHECKLIST

During the rating cycle think about these points:

- Did I engage in routine discussions with the employee throughout the performance cycle about performance achievements, challenges, and improvement areas?
- Do I understand the employee's duties, the level of performance, and any challenges?
- Did I invest sufficient time in preparing for each discussion?
- Have I reviewed the employee's performance plan to ensure that the performance objectives are still relevant?

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## MONITORING PERFORMANCE CHECKLIST (CONT)

During the rating cycle think about these points:

- Have I documented examples of successful performance and opportunities for improvement?
- Have I asked for the employee's perception of his/her own performance?
- Have I kept my supervisor informed of any performance-related issues with my employees?

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## DOCUMENTING PERFORMANCE

- Annotate any performance discussions and observations of actions, behaviors or results
- Be objective, focus on the performance, not the person
- On a regular basis throughout the entire rating cycle, (weekly, monthly, etc.)
- Separate electronic or hard copy files for each employee
- Relate accomplishments and shortcomings to specific goals and objectives from the performance plan
- Use as a reference for performance conversations, mid-point counseling and end of cycle performance appraisals

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## MID-POINT COUNSELING

- An interim performance review is required at least once during the performance management cycle
- Prepare for the conversation and plan your feedback
- Focus on progress towards objectives, cite specific examples, make adjustments if necessary
- Provides an opportunity for advice to assist the employee in achieving their objectives and goals
- Don't speculate on final rating or rewards
- Don't forget to document your discussion!



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## ADDRESSING POOR PERFORMANCE

- + Address the issue immediately, it won't get better by ignoring it!
- + Document specific instances of poor performance
- + Provide specific measurable suggestions for improvement and follow-up as necessary
- + Discuss issues openly and honestly
- + Restate your performance expectations
- + Point out examples of good performance to use as a starting point for improvement
- + Listen to the employee's perspective and encourage options for resolution
- + Discuss resources like training, mentoring, etc.

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## ADJUSTING A PERFORMANCE PLAN

### Guidelines for changing the performance plan

- ✓ Performance plans may be changed during the year
- ✓ Objectives, responsibilities and goals may be changed together or separately
- ✓ The employee should have sufficient time before the end of cycle to work towards a new performance plan
- ✓ Best practice: Do not change the performance plan after mid-point counseling
- ✓ Document, document
- ✓ No surprises!



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## PERFORMANCE MANAGEMENT:

### DEVELOPING



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## INDIVIDUAL DEVELOPMENT PLAN (IDP)

- Identifies short- and long-term career goals
- Identifies relevant knowledge, skills, abilities and developmental activities to reach these goals
- Identifies the competencies necessary to successfully perform the job
- Documents training and developmental activities
- Tracks accomplishments toward completion
- Review, document and discuss several times during rating period
- Can help employees become more qualified for their current or future positions

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## SUPERVISOR'S ROLE (IDP)

- ◆ Identify organizational mission and goals
- ◆ Discuss and document the employee's progress
- ◆ Assist the employees in developing and modifying their IDP
- ◆ Create realistic developmental goals
- ◆ Locate training and developmental opportunities
- ◆ Provide the employee enough time to take advantage of opportunities
- ◆ Remove obstacles that may hinder their development
- ◆ Initiate ongoing development conversations

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## EMPLOYEES' ROLE (IDP)

- ◆ Take responsibility and be accountable for their career development
- ◆ Identify their own strengths and weaknesses relative to occupational requirements and organizational goals
- ◆ Let them engage with you early and often to discuss career management activities
- ◆ Let them track their own progress
- ◆ Identify and utilize tools and resources to assist with satisfying requirements and achieving career goals

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## COACHING EMPLOYEES

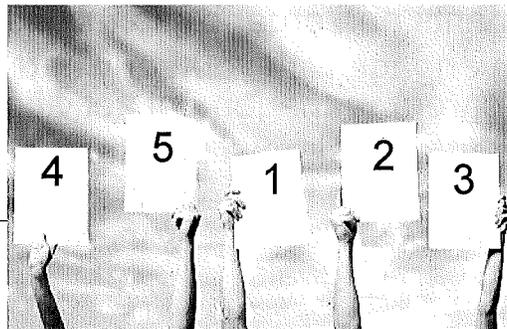
- ▶ Can happen spontaneously or in a formal setting
- ▶ Effective questioning sets the stage for employees to craft their own resolutions to issues
- ▶ Help employees identify their obstacles and challenges
  - + External: Busy schedules, limited resources, interactions with others, incomplete information, etc.
  - + Internal: Fear of failure, self doubt, unwillingness to change, poor time management, bad decision making, etc.
- ▶ Fosters an employee's awareness, responsibility and ownership of ideas, actions and goals
- ▶ Continuous feedback builds a positive and trusting relationship and assists them in improving



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## PERFORMANCE MANAGEMENT:

### RATING



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## PERFORMANCE APPRAISALS

A good evaluation includes:

- ✓ Accomplishments and Results - Describe the employee's impact on the organization's mission and goals, focus on the results not tasks
- ✓ Performance Level - Include wording that describes the employee's level of performance against each standard
- ✓ Behaviors - Describe how the employee exhibited the expected behaviors and values while achieving goals
- ✓ Challenges and added value – Describe how the employee overcame challenges and added value to the organization or mission

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## Written Performance Appraisals

TAPES requires written performance appraisals:

- Two types, annual and special
- Recorded on
  - DA Form 7223 (Base System)
  - DA Form 7222 (Senior System)
- Obtain the employee's signature last
- Due in the CPAC within 45 days (local procedures)
- Copies and distribution (one original and two copies)
  - Original to employee
  - One copy to CPAC
  - One copy retained by Rater

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## Special Appraisals

- Used for details, temp promotions and other situations when assigned more than 120 days away from normal duties (also should create new performance plans)
- Completed by departing raters having at least 120 days of supervision with approved performance plan
- Should be considered by rating chain in annual appraisal
- Recorded on
  - DA Form 7223 (Base System)
  - DA Form 7222 (Senior System)
- May convert to annual appraisal
- Attached to and sent with annual appraisal to CPAC when completed

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## TAPES Rating Systems

- ❖ Both systems use “individual” ratings assigned to either objectives or responsibilities that define a level of performance
- ❖ Individual ratings are combined in a rating formula to determine the overall rating of record
- ❖ 5 tier system ranging from “Successful” Level 1 to “Unsuccessful”
- ❖ Forced distribution of ratings are not allowed!

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## Base System Rating Responsibilities

- 4 responsibilities (2 additional for supervisors)
  - Technical Competence
  - Adaptability and Initiative
  - Working Relationships & Communication
  - Responsibility and Dependability
  - Supervision and Leadership (supervisory)
  - EEO and Affirmative Action (supervisory)
- 4 responsibility ratings (2 additional for supervisors)
- Overall rating formula used to calculate overall performance rating

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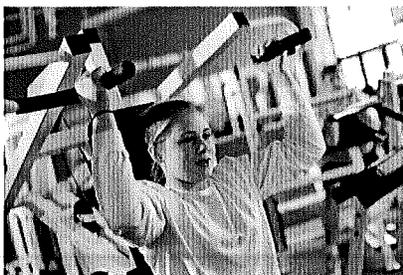
## Senior System Rating Objectives

- ▶ Rated against jointly developed performance objectives from the beginning of the rating period
- ▶ Compare objectives against actual accomplishments using the performance standards to determine individual ratings for each
- ▶ Supervisors must be rated against 2 mandatory objectives
  - Organizational Management and Leadership
  - EEO and Affirmative Action
- ▶ Overall rating formula used to calculate overall performance rating

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## Exercise

### Determining the Overall Ratings



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### Base System Rating Exercise: Determine the Overall Rating

	Tom	Mary	Joe	Martha
Responsibility 1	Success	Excellence	Success	Success
Responsibility 2	Success	Excellence	Success	Fails
Responsibility 3	Success	Excellence	Success	Success
Responsibility 4	Excellence	Excellence	Needs Improvement	Success
Overall Rating				

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### Senior System Rating Exercise: Determine the Overall Rating

	Tom	Mary	Joe	Martha
Objective 1	Success	Excellence	Success	Success
Objective 2	Success	Excellence	Success	Fails
Objective 3	Success	Excellence	Success	Success
Objective 4	Excellence	Excellence	Needs Improvement	Success
Objective 5	Excellence	Success	Excellence	Success
Overall Rating				

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### TAPES Key Points

No appraisal permitted without valid support form/performance plan in place

Minimum appraisal period is 120 calendar days (with support form/performance plan in place)

Changes can be made to the support form at any time (must allow for 120 days on standards)

No extension of appraisal period unless permitted by AR 690-400, Chapter 4302

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## TAPES Key Points

Rating not due when employee retires/goes to private firm

Two counseling sessions required - initial and mid-point

Rating chain signs first – then employee

All TAPES objectives are critical; do not identify non-critical objectives

Level 3 rating required to allow within grade increase (WIGI)

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## Online Resources

- ❑ Good online checklists for supervisors in PERMISS to assist in the preparation of appraisal and performance plan forms
  - Base System Checklist @ <http://www.cpol.army.mil/library/permiss/52222b.html>
  - Senior System Checklist @ <http://www.cpol.army.mil/library/permiss/52222a.html>
- ❑ Army Regulation 690-400 TAPES
  - [http://www.apd.army.mil/pdffiles/r690\\_400.pdf](http://www.apd.army.mil/pdffiles/r690_400.pdf)
- ❑ Appraisal and performance plan forms online in PDF and XFDL format
  - [http://www.apd.army.mil/USAPA\\_PUB\\_formrange\\_f.asp](http://www.apd.army.mil/USAPA_PUB_formrange_f.asp)

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## Online Resources

- More resources
  - Performance Management – A Tool to Achieve Results (Online Course)  
[http://www.cpms.osd.mil/NSPS/PM\\_WBT/index.htm](http://www.cpms.osd.mil/NSPS/PM_WBT/index.htm)
  - Managing Employee Performance – A Guide for Supervisors  
[http://www.cpms.osd.mil/nsps/docs/mep\\_supervisor\\_guide.pdf](http://www.cpms.osd.mil/nsps/docs/mep_supervisor_guide.pdf)

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## RECONSIDERATIONS

- ◆ Formal requests submitted in the form of a grievance through:
  - Administrative Grievance System
  - Negotiated Grievance System
- ◆ The substance of performance standards and objectives are not grievable



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## Exercise

### Case Studies



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### QUESTION

1. Rick Astilbe, a supervisor of 18 employees, comes to you and complains about all the paperwork and counseling he's supposed to do. He can't see any value in it at all. Also, he wants you to give him an extra 60 days to complete his appraisals on 5 of his employees who are TDY. After all, he can't counsel them while they are gone. How would you handle this under TAPES?



72

**QUESTION**

2. Marcia King was temporarily detailed to another job for the last 9 months. Her rating cycle is now coming to a close. How would you handle this situation under TAPES?



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**QUESTION**

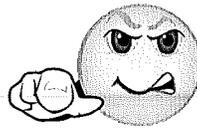
3. Karen Schmidt is the supervisor of 3 employees who are due their annual appraisals within the next 90 days. Ms. Schmidt receives a promotion to another organization and is leaving. Describe what kind of appraisal she should give to the 3 employees prior to her departure under TAPES.



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**QUESTION**  
QUESTION

4. Michael Donahue is very dissatisfied with the rating he received. He wants to challenge it because he claims that he should have received a higher level rating. What information should you provide him under TAPES?



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**QUESTION**  
QUESTION

5. Kathleen Brady has made some significant revisions to the performance plan of Doug Kinney, one of her "problem employees" who is under a Performance Improvement Plan. Kinney's annual rating period comes to a close in 90 days. Ms. Brady wants to know whether she can rate Kinney against the revised expectations in completing her annual evaluation under TAPES?

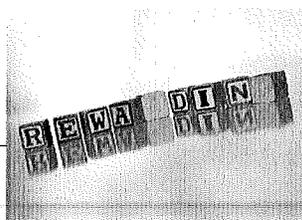
Can she get an extension of the rating period?



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# PERFORMANCE MANAGEMENT:

## REWARDING



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### Regulatory /Legal Basis

- 5 USC, CHAPTERS 45, 53, AND 54
- 5 CFR, PARTS 430, 451, AND 531
- AR 672-20 (Incentive Awards)
- DA PAM 672-20 (Incentive Awards Handbook)

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## AWARDS

- ▶ Special Act and Special Service Awards
- ▶ Rating-Based Awards
- ▶ Quality Step Increases
- ▶ On-The-Spot Awards
- ▶ Time-Off Awards
- ▶ Career Service Recognition
- ▶ Informal Recognition
- ▶ Honorary Awards
- ▶ Public Service Awards

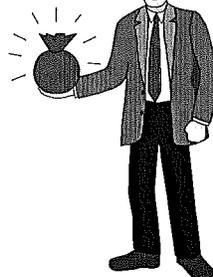


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## The Award Spectrum

### Three General Categories

- ❖ Honorary (Non-monetary)
- ❖ Monetary
- ❖ Time-Off



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## Honorary Awards

### 7 Awards for DA Civilians

→ Essentially equivalent to DA Honorary Awards for Military

- ✓ Equivalent nature of recognition
- ✓ Equivalent approval level



### Public Service Awards

- Army employees and contractor employees not eligible
- No n-career Government officials and non-Government personnel are eligible

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## Honorary Awards

Honorary awards may be given to separating employees provided accomplishments fully meet criteria

Manager outside employee's chain of command may nominate employee for an award



**NOTE: Nomination must be coordinated with employee's supervisor**



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## New Awards

### Secretary of Defense Medal for the Defense of Freedom

- ✓ Eligible if a DoD civilian employee is killed or wounded by hostile action while serving or while rescuing or attempting rescue of another employee
- ✓ Aligned very closely to the Military Purple Heart
- ✓ Approved by the Secretary of the Army

### Secretary of the Army Award for Valor

- ✓ For civilian employees and private citizens
- ✓ Acts of heroism, courage or sacrifice, with voluntary risk of personal safety in the face of danger either on or off the job
- ✓ Approved by the Secretary of the Army

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## DA Awards Hierarchy

Civilian Award	Authority	Military Award	Authority
Decoration for Exceptional Civilian Service	Sec of Army	Distinguished Service Medal	Chief of SA
Meritorious Civilian Service Award	ACOM Commander	Legion of Merit	ACOM Commander LTG+
Superior Civilian Service Award	Commanders MG+ and Civ Equiv.	Meritorious Service Medal	Commanders MG+
Commanders Award for Civilian Service	Commanders COL+ and Civ Equiv.	Army Commendation Medal	Commanders COL+
Achievement Medal for Civilian Service	Commanders LTC+ and Civ Equiv.	Army Achievement Medal	Commanders LTC+

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## Monetary Awards

### On-the-Spot (OTS)

-Currently \$50-\$500

### Special Act/Service Award

-Use Table of Tangible Benefits and Table of Intangible Benefits to determine amount

-Up to \$10,000, or \$25,000 with AIAB review

### Rating-Based Awards (Performance)

-Up to 10% of Base Salary

-Up to 20% with Major Commander approval

### Quality Step Increase

-Not more than 1 per 52-week period

-Must be rated Success Level 1



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## Time-Off Awards

- Supervisor can approve awards up to one day or less
- Benefits to Government similar to Special Act or OTS
- Maximum Award Amounts
  - 40 Hours for any single award
  - 80 Hours for any 1-year period
- Limitation
  - Must be used within 1 year of the approval date
  - Cannot be transferred outside of Army
  - Cannot be restored or paid in lump sum



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## No Performance or Achievement Awards for Employees:

Under investigation or with disciplinary /  
performance-based action pending

Having had a disciplinary action in last  
120 days

Involved in "unlawful discrimination"

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## Rewarding Employees: What Do They Really Want?

- Managers have fewer ways to influence employees
  - Supervisors must be coaches rather than demanding
  - Traditional means of "motivating" military members doesn't always work on civilians!
- Employees are being asked to do more with less oversight
  - Managers need to create a workplace that is positive and reinforcing
- Soon there will be fewer workers with fewer skills
  - New pool of employees have different values
  - Work needs to have purpose
- Rewards and recognition = Effective and low cost encouragement and motivation!

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## PERFORMANCE MANAGEMENT: REVIEW

1. Describe the 5 key processes of a performance management program.
2. Explain the two different systems under TAPES and their rating cycles.
3. Describe a written performance plan and the forms used in the TAPES performance management system.
4. Explain why performance planning is an important part of the performance management process.
5. Explain the importance of maintaining records of your employee's performance throughout the year.



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## PERFORMANCE MANAGEMENT: REVIEW (CONT)

6. Describe the purpose of the mid-point counseling and what should be covered during that review.
7. Describe some of the requirements of addressing poor performance.
8. Identify the importance and use of an Individual Development Plan (IDP).
9. Identify the two forms used in TAPES for the written performance appraisal.
10. Describe how to calculate overall rating formulas in the TAPES Base and Senior Systems.
11. Identify the various tools available to supervisors to recognize, reward and motivate employees.

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# QUESTIONS?



Army Regulation 690-400

Civilian Personnel

# **Chapter 4302 Total Army Performance Evaluation System**

Headquarters  
Department of the Army  
Washington, DC  
16 October 1998

**UNCLASSIFIED**

# ***SUMMARY of CHANGE***

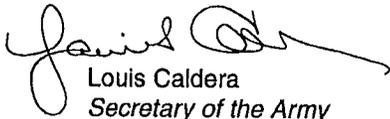
AR 690-400

Chapter 4302

Total Army Performance Evaluation System

Civilian Personnel

Chapter 4302  
Total Army Performance Evaluation System



Louis Caldera  
Secretary of the Army

**History.** This chapter or AR 690-400 was originally printed on 22 May 1993. It was authenticated by Gordon R. Sullivan, General, United States Army, Chief of Staff, and Milton H. Hamilton, Administrative Assistant to the Secretary of the Army. Change 1 was printed on 16 November 1998. Change 1 was authenticated by Louis Caldera, Secretary of the Army. This electronic edition includes the original 1993 publication and Change 1.

**Summary.** a. This change updates relevant

regulatory references; provides accurate address of proponent for suggestions, comments, clarification, and so forth; removes some requirements for Senior Rater and changes responsibilities for optional use of Senior Rater; changes the descriptions of performance required for ratings at the different Successful levels; removes outdated references to the Performance Management and Recognition System (PMRS); clarifies that acceptable level of competence (ALOC) decisions for within-grade increase (WIGI) purposes must be based on a rating of record, not a special rating, to comply with Office of Personnel Management (OPM) requirements; removes appendix C; and eliminates references to the Senior Rater Profile, which is being discontinued.

b. These changes to the basic regulation, AR 690-400, chapter 4302, dated 22 May 1993, will be implemented in phases after 30 September 1998. Employees will remain under provisions set forth under the 22 May 1993 regulation until notified by their chain of command that they are covered by the provisions of these changes. No provision of these changes shall be applied in such a way as to affect any administrative proceeding related

to any action taken under the basic regulation prior to implementation of these changes.

**Applicability.** Not applicable.

**Proponent and exception authority.** Not applicable.

**Army management control process.** Not applicable.

**Supplementation.** Not applicable.

**Suggested Improvements.** Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Assistant Secretary of the Army for Manpower and Reserve Affairs (SAMR-CPP-MP), 200 Stovall Street, Alexandria, VA 22332-0300.

**Distribution.** Distribution of this publication is made in accordance with the requirements on DA Form 12-09-E, block 3695, intended for command level C for Active Army, U.S. Army Reserve, and none for the Army National Guard.

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**RESERVED**

## Subchapter 1 General Provisions

### 1-1. PURPOSE

a. 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.

b. The Department of the Army Performance Management Plan consists of the following components:

(1) The Performance Management Program required by DOD 1400.25-M, subchapter 430, Performance Management.

(2) The plan for Performance Awards required by 5 CFR 451, subpart A, and a plan for Quality Step Increases in accordance with 5 CFR 531, subpart E (Reference AR 672-20).

(3) A within-grade increase plan in accordance with 5 CFR 531, subpart D (AR 690-990-2, book 531).

(4) A plan in accordance with 5 CFR 432 for taking performance-based actions against employees who fail to meet performance expectations (Reference AR 690-400, chap 432).

c. This chapter sets forth policy for civilian personnel performance management programs of the Department of the Army that are in conformance with the DOD performance appraisal system approved by the Office of Personnel Management. Guidance for implementing the performance evaluation system and for appropriate use of forms is included in DA Pamphlet 690-400, chapter 4302.

d. Requests for clarification of policy, forms completion, and procedures should be sent through the chain of command to the Assistant Secretary of the Army for Manpower and Reserve Affairs (SAMR-CPP-MP), 200 Stovall Street, Alexandria, VA 22332.

### 1-2. OBJECTIVES

The Army's system for planning and appraising performance, the Total Army Performance Evaluation System (TAPES), is designed to improve Total Army performance by:

a. Communicating organizational goals and priorities, and Army values and ethics to employees.

b. Establishing individual expectations for performance that reflect organizational goals and priorities.

c. Facilitating frequent discussion among the Ratee and the rating chain about performance, expectations, professional development, and DA values and ethics.

d. Providing an environment where all understand that they are important members of the Army Team—in which they are recognized for their achievements, counseled and assisted in areas in which they can improve, encouraged to take responsibility for doing things better and to support team endeavors, and challenged to develop professionally and to perform at their full potential.

e. Requiring annual written individual performance evaluations that provide supervisors and managers with tools for:

(1) Systematic assessment of performance results achieved to make sound plans and decisions concerning compensation, training, rewards, reassignments, promotions, reductions in grade, retention, reductions in force, and removal.

(2) A sound and continuing basis for effective supervisor-subordinate partnerships in pursuit of common goals.

### 1-3. APPLICABILITY

This chapter applies to all civilian employees paid from appropriated funds in both the competitive and excepted service except those:

a. Who are in the Senior Executive Service;\*

b. Who are National Guard Technicians under 32 USC 709;

c. Who are paid local national prevailing wage rates for the area in which employed; and

d. Who occupy temporary positions for which employment is not expected to exceed 120 days in a consecutive 12-month period.

\* Implementing policy for the Senior Executive Service is set forth in AR 690-900, Chapter 920. Subchapter 8.

### 1-4. RESPONSIBILITIES

Performance management is an inherent responsibility for all those in positions of leadership. Those being rated, developed and recognized through the performance management system also have significant roles. Specifically,

a. Commanders and other equivalent leaders at all activity levels are responsible for the success of the performance management system. To fulfill their responsibilities, they will:

(1) Ensure fair and consistent application of this chapter in compliance with governing laws, rules, and regulations and ownership of this system by all members of the command chain.

(2) Develop and communicate organizational goals and priorities to assist in developing individual and/or group goals and expectations.

(3) Discuss and exhibit DA values and ethics; assure they are visible and meaningful in the organization.

(4) Ensure that Ratees are informed of the individuals in their rating chains and of their annual rating cycles.

(5) Ensure that all—civilian supervisors, military supervisors who rate civilians, union representatives, and employees—receive adequate training or orientation concerning the performance appraisal system.

(6) Ensure timely preparation of written performance plans and completed performance appraisals.

(7) Monitor the performance management program.

b. Senior Raters, when utilized, are responsible for communicating goals, for setting standards of performance, and for making DA values and ethics visible to facilitate understanding and adherence by all members in their organizations. They are responsible for assessing individual contributions in the broader perspective of overall mission accomplishment. In fulfilling these responsibilities, they will:

(1) Review and approve Performance Plans at least at the beginning of each rating period and at any other time during the rating period when major changes to expectations occur (e.g. new or revised missions that requires changed priorities and resources distribution).

(2) Review performance appraisals and assign ratings in a timely manner, assuring accuracy and compliance with requirements.

(3) Make supportable statements about Ratee's performance and potential—based either on personal knowledge and observation or on reliable information provided by subordinate raters.

(4) Resolve disagreements between Raters and Intermediate Raters.

(5) Consider performance appraisals and ratings when making personnel management and pay decisions.

c. Intermediate Raters are responsible for communicating organizational goals, exhibiting DA values and ethics, and reviewing individual performance plans and subsequent appraisals to ensure that they accurately reflect mission needs and individual accomplishments. In fulfilling their responsibilities, Intermediate Raters will:

(1) Review and recommend approval of Performance Plans at the beginning of each rating period and at other times during the rating period that major changes to expectations occur.

(2) Review performance appraisals in a timely manner, either concurring with the proposed ratings or seeking resolution of the disagreement—first with the Rater and then the Senior Rater.

d. Raters are responsible for assigning work and for either assisting Ratees in or for establishing job-related expectations for Ratees. They provide information to and obtain feedback from Ratees on DA values and ethics, work unit goals and priorities, performance, and professional development plans. To accomplish their responsibilities, Raters will:

(1) Identify Rating Chains to their Ratees. Explain if and how any individuals who are not in the official supervisory chain but who assign and monitor the Ratee's work will be involved (e.g. Project Managers, EEO Officers, Safety Officers).

(2) Communicate organizational goals and priorities to Ratees—both at the beginning of each rating period and throughout the year as changes occur.

(3) Develop Ratee performance plans for each rating period. Work with Ratees in establishing individual performance and professional development goals and expectations that should be attainable and that reflect organizational needs.

(4) Discuss DA values and ethics with Ratees. Exchange ideas about what values mean and what types of behavior each believes indicates adherence.

(5) Conduct formal performance-related discussions at the midpoint of each rating period and at any other time that needs arise. Provide informal feedback and get Ratee input on performance expectations and accomplishments throughout the rating period. If significant changes to expectations occur, notify the rating chain and obtain approval.

(6) Prepare timely written performance appraisals that describe specific accomplishments and that accurately assess the Ratee's total contributions when compared with documented expectations.

(7) Use performance appraisals and ratings to assist them in making sound, equitable personnel decisions.

*e.* Ratees are responsible for learning what is expected of them; for discussing their ideas about the work, Army values and professional development goals with Raters; and for performing to the best of their abilities. In fulfilling these responsibilities, Ratees will:

(1) Take appropriate roles in developing their performance and professional development plans.

(2) Try to do their work right—for informing their rating chains when they have questions and/or needs, when problems occur or when they believe work could be done better.

(3) Provide rating chains with timely feedback on their accomplishments that rating chains can use in preparing performance appraisals.

*f.* Civilian Personnel Offices are responsible for supporting the command (parent and serviced) in implementing and administering viable and constructive performance management programs. In fulfilling their responsibilities, they will:

(1) Advise and assist supervisors in executing their daily performance management responsibilities and keep commanders and equivalent leadership informed of program status and needed program improvements.

(2) Train or arrange training for supervisors and disseminate information to employees and employee representatives concerning the performance management system.

(3) Input performance rating data into the Army Civilian Personnel System (ACPERs) and file annual performance appraisals with special appraisals (if any) and performance plans attached in individual Official Personnel Folders or Employee Performance Folders in accordance with 5 CFR 293.402.

### 1-5. COMPONENTS OF THE TOTAL ARMY PERFORMANCE EVALUATION SYSTEM (TAPES)

All civilian employees except those excluded in paragraph 1-3 above will be included under either the Base or the Senior systems, which provide for:

*a. Written Performance Plans.* Employees will have written performance plans which document expectations that are based on organizational mission and goals and that reflect the types of duties and responsibilities listed in their job descriptions. Plans consist of preprinted Responsibilities (Base system only) and performance standards and individual job-related expectations set forth during performance-related discussions.

(1) The plans, representing joint efforts of Ratees and their rating chains, should be in place within 30 days from the beginning of each rating period.

(2) The plans must be reviewed and approved by the rating chain at least at the beginning of the rating period and any other time that expectations change significantly.

(3) Performance plans are recorded on the Counseling Checklists, DA Form 7223-1 (Base System Civilian Performance Counseling Checklist Record), in the Base System; on the Support Form, DA Form 7222-1 (Senior System Civilian Evaluation Report Support

Form), in the Senior System; and on the ICD for Ratees whose job descriptions are so generated.

(4) Performance plans become effective on the day they are approved by the Senior Rater. If a Senior Rater is not utilized, the effective date is the day they are approved by the rater.

*b. Annual Rating Periods.* All Ratees will have pre-established 12-month rating periods. MACOMs or local activities establish rating periods for Ratees in the Base System. Ratees in the Senior System are rated in standard annual rating cycles based on pay plan and grade, as follows:

1 JUL—30 JUN—ST, SL, GM, WS/GS-13 and above, employees at equivalent levels in other pay plans.

1 NOV—31 OCT—WS/GS-9 through 12 and employees at equivalent levels in other pay plans (except WL and WG).

NOTE: CAREER INTERNS are rated 6 months after their entry into the position and again at the end of 12 months. This first rating (at 6 months) is considered a Special Rating. The first annual rating is rendered at the end of 12 months. Interns continue on their unique annual rating cycles (based on their entry into the positions) until they complete the Intern Program—at which time they are phased into the DA cyclic rating periods.

*c. Official Rating Chain.* Each Ratee will have an identified rating chain consisting of at least a Rater and a Senior Rater. If a level of supervision exists between the Rater and the Senior Rater or if circumstances require an additional rater (e.g. someone who is not in the Ratee's official supervisory chain but who frequently or consistently assigns work and observes the Ratee's performance), an Intermediate Rater is included in the chain. If the commander or equivalent leader is the Rater, he/she may serve as Senior Rater also. The utilization of a Senior Rater and Intermediate Rater in the review of performance plans and appraisals is optional except in the situation in which an employee fails one or more of the objectives/responsibilities. In that situation, the Senior Rater must review the rating assigned by the Rater.

*d. Minimum Rating Period.* Army's minimum rating period is 120 days. Ratees cannot be rated until they perform under approved performance plans for at least 120 days.

*e. Special Requirements for Performance Plans and Ratings.* Some positions include specific requirements for which clearly defined performance expectations should be developed for each rating period. Among these requirements are Supervision and/or Leadership and Equal Employment Opportunity/Affirmative Action (EEO/AA) planned efforts for all supervisors and managers; plans to increase competition and achieve cost savings in contracting and of contracting officers to make awards to small business concerns (10 USC 2301); individual efforts to eliminate wasteful practices and achieve cost savings in inventory management (Section 323 of Public Law 101-510); and discharge of security, internal control, safety, and other relevant responsibilities of the position.

*f. Written Performance Appraisals.* Written performance appraisals with Overall Performance Ratings assigned will be completed and recorded on DA Form 7223 (Base System Civilian Evaluation Report) for the Base system and on DA Form 7222 (Senior System Civilian Evaluation Report) for the Senior system. There are two types of written appraisals: annual and special.

*g. Objective Ratings.* The ratings assigned to Objectives that are rated in the Senior System. Objectives ratings define the level of performance achieved for that Objective as follows:

EXCELLENCE—Consistently exceeds level described by 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 level described by 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.

*h. Responsibilities Ratings.* The ratings assigned each of the Responsibilities in the Base system which define the level of performance achieved for that Responsibility, as follows:

**EXCELLENCE**—Consistently exceeds level described by 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 level described by 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.

*i. Overall Rating Formulas.* Overall Performance Ratings are derived from formulas that establish how Objectives and Responsibilities ratings determine the Overall Performance Rating. These formulas are defined below:

#### BASE SYSTEM

##### SUCCESSFUL

**LEVEL 1**—Ratee With No Supervisory Duties is rated **EXCELLENCE** in 3 or more of the nonsupervisory Responsibilities and **SUCCESS** in the remaining nonsupervisory Responsibilities. Ratee With Supervisory Duties is rated **EXCELLENCE** in 4 or more Responsibilities—at least one of which must be either Supervision/Leadership or EEO/AA—and **SUCCESS** in the remainder. (This is Level 5 in 5 CFR, Part 430.)

**LEVEL 2**—Ratee With No Supervisory Duties is rated **EXCELLENCE** in either two or one of the nonsupervisory Responsibilities and **SUCCESS** in the remaining nonsupervisory Responsibilities. Ratee With Supervisory Duties is rated **EXCELLENCE** in either two or three Responsibilities—one must be either Supervision/Leadership or EEO/AA—and **SUCCESS** in the remainder. (This is Level 4 in 5 CFR, Part 430.)

**LEVEL 3**—Ratee with no supervisory duties is rated **SUCCESS** in ALL rated responsibilities. Ratee with supervisory duties is rated **EXCELLENCE** in one or more nonsupervisory responsibilities but **SUCCESS** in both Supervision/Leadership and EEO/AA or who is rated **SUCCESS** in all nonsupervisory responsibilities and **EXCELLENCE** in either Supervision/Leadership or EEO/AA. (This is Level 3 in 5 CFR 430.)

**FAIR**—Ratee is rated **NEEDS IMPROVEMENT** in 1 or more Responsibilities and **NOT RATED FAILS IN ANY**. (This is Level 2 in 5 CFR 430.)

**UNSUCCESSFUL**—Ratee is rated **FAILS** in 1 or more Responsibilities—regardless of ratings assigned remaining Responsibilities. (This is Level 1 in 5 CFR 430.)

#### SENIOR SYSTEM

##### SUCCESSFUL

**LEVEL 1**—Ratee With No Supervisory Duties is rated **EXCELLENCE** in 75 percent or more of the Objectives and **SUCCESS** in the remaining nonsupervisory Objectives. Ratee With Supervisory Duties must also be rated **EXCELLENCE** in 75 percent or more of ALL Objectives—which must include **EXCELLENCE** ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s)—and **SUCCESS** in the others. (Level 5 in 5 CFR, Part 430.)

**LEVEL 2**—Ratee With No Supervisory Duties is rated **Excellent** in 25-74 percent of rated Objectives and **SUCCESS** in the remaining Objectives. Ratee With Supervisory Duties must be rated **EXCELLENCE** in 25-74 percent of ALL Objectives—which must include **EXCELLENCE** ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s) and at least **SUCCESS** in others. (Level 4 in 5 CFR, Part 430.)

**LEVEL 3**—All Ratees who are rated **SUCCESS** in ALL rated Objectives or **EXCELLENCE** in 1% through 24% and **SUCCESS** in remaining Objectives. Ratees with Supervisory Duties who were rated **EXCELLENCE** in any number of Objectives but **SUCCESS** in

those Objectives for both Organizational Management and Leadership and EEO/AA. (Level 3 in 5 CFR 430.)

**FAIR**—All Ratees who are rated **NEEDS IMPROVEMENT** in 1 or more Objective(s) and are **NOT RATED FAILS IN ANY**. (Level 2 in 5 CFR 430.)

**UNSUCCESSFUL**—All Ratees rated **FAILS** in 1 or more Objective(s)—regardless of ratings assigned other Objectives. (Level 1 in 5 CFR 430.)

*j. Ratings for Temporary Promotions and Details.* Temporary promotions and details for 120 days or more require performance plans and normally are documented by special appraisals.

(1) The exception to preparing a special rating involves temporary promotions which are ongoing at the end of the Ratee's annual rating cycle. A Ratee temporarily promoted officially occupies the position to which promoted. Therefore, if the Ratee's scheduled annual rating cycle ends while the Ratee is on temporary promotion which has lasted at least 120 days, the Rater of the position to which temporarily promoted prepares the annual appraisal.

(2) Conversely, a Ratee who is detailed continues to occupy the position from which detailed for official purposes. Thus, the Rater of the detailed position prepares a special appraisal if the Ratee's annual rating cycle ends during the detail. The Rater for the position from which the Ratee is detailed may either attach the special appraisal to the annual appraisal he/she prepares or, if the detailed lasted for most of the rating period, adopt the special appraisal as the annual appraisal.

*k. Reconsideration Processes.* Ratees who have dissatisfactions with their performance appraisals that they cannot resolve informally may request formal reconsideration. The formal request for reconsideration should be submitted in the form of a grievance, either through a negotiated procedure or through locally-established procedures required by DOD CPM 1400.25M, subchapter 771.

*l. Performance Which Fails to Meet Expectations.* Ratees who fail to meet Responsibilities/ Objectives must be so informed in writing, provided guidance and assistance, and given a reasonable opportunity to improve performance. Nonprobationary Ratees who do not improve after being given formal opportunities to do so under Performance Improvement Plans (PIPs) will be reassigned, reduced in grade, or removed in accordance with procedures set forth by 5 CFR 432 and AR 690-400, Chapter 432. In certain circumstances, adverse actions for performance may be effected under AR 690-700, Chapter 751. In these cases, the requirements for notice and a PIP are encouraged but not mandated. Management, the Labor Counselor and the Civilian Personnel Office representative should let the facts of the case direct the best course of action.

*m. Performance Which "Needs Improvement."* At any time during the rating cycle that the Ratee is determined to "Need Improvement" in one or more Responsibilities or Objectives, the Rater should notify the Ratee and consider providing assistance. Such assistance may include but is not limited to formal training, on the job training, counseling, and closer supervision.

*n. Inability to Rate.* When annual ratings cannot be prepared at the end of the scheduled rating cycles (e.g. extended illness or Long-Term classroom training of the Ratee), rating periods are extended for the time necessary to meet the minimum 120-day requirement, at which time annual ratings will be prepared. Until current ratings can be prepared, the most recent ratings of record remain in effect for all purposes except Reduction in Force (RIF). For RIF, a Ratee without a current rating of record will be assigned a presumed Successful Level 3 to adjust Service Computation Date unless he/she has three actual ratings which were assigned during the four-year window established by the activity for the RIF.

*o. Forced Distribution.* Activities may not prescribe a distribution of rating levels. Ratees must be rated against written, communicated performance expectations and not ranked among others.

*p. Transfer of Rating.* When Ratees leave their positions during the rating period for details, temporary promotions or permanent transfers, they should be rated in accordance with guidance set forth in Appendix A.

#### **1-6. LABOR RELATIONS PROGRAM REQUIREMENTS**

The establishment and content of performance expectations set forth in individual Performance Plans are not negotiable under 5 USC 7106(a)(2)(A) and (B). However, supervisors are encouraged to inform local bargaining unit representatives of organizational goals, objectives, and priorities to assist them in carrying out their representational responsibilities and to facilitate cooperative management/union relationships. Exclusive representatives of bargaining units may bargain on the impact and implementation of performance management systems.

## Subchapter 2 Performance Management Linkage

### 2-1. GENERAL

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, retaining and removing employees.

### 2-2. PROFESSIONAL DEVELOPMENT

Planning for professional development is an integral part of the performance management process. Along with meaningful performance-related discussions that assist Ratees in reinforcing strengths and correcting weaknesses, professional development opportunities may include classroom training, on-the-job training, mentoring, special assignments, participation in professional and civic organizations, and publishing professional articles. Rating chains should encourage Ratees to seek professional development opportunities and reward them appropriately (e.g. through awards, challenging work assignments, promotions) when they succeed in enhancing their value to the organization. (See AR 690-400, Chap 410 for Army policy governing training.)

### 2-3. WITHIN-GRADE INCREASES

a. Federal Wage System employees advance automatically to the next pay step by receipt of a within-grade increase with current ratings of record of at least Successful Level 3 so long as they satisfy the time requirements.

b. General Schedule (GS) employees must also be rated at Successful Level 3 or higher and satisfy time requirements to be eligible for within-grade increases; however, if the current rating of record does not support an accurate Acceptable Level of Competence (ALOC) determination (for example, a GS-07 employee has a current rating of Successful Level 3 but has been experiencing performance deficiencies for the past 4 months so that the current level of performance is below Successful Level 3), the Rater must prepare a new rating of record to justify the ALOC decision. (NOTE: Such appraisals should be coordinated with the servicing civilian personnel representatives. Copies of appraisals used to deny WIGIs should be included in the adverse action files) (AR 690-500, chapter 531).

### 2-4. CASH AWARDS FOR PERFORMANCE

a. All Ratees rated at Successful Level 3 or higher are eligible for consideration for Performance Awards. Supervisors should grant such awards to those who are deserving based on merit and who have not been otherwise rewarded for their contributions. (Refer to AR 672-20.) (NOTE: Nominations and approvals of performance-based awards are documented in Part III of the Civilian Evaluation Report Forms, DA Forms 7222 and 7223.)

b. Only GS employees rated Successful Level 1 are eligible for Quality Step Increases (QSI), which are one-step increases to base pay. (AR 672-20) (NOTE: Nominations and approvals of QSIs are documented in Part III of the Civilian Evaluation Report forms, DA Forms 7222 and 7223.)

### 2-5. PROMOTION

Supervisors should consider referred employees' recent ratings of record (e.g. the last 3 years) when making placement decisions. Information on appraisals may indicate if and how well employees performed duties relevant to the position for which they are being considered. Ratings history may indicate individual potential to perform different or more responsible work. Local Merit Promotion Plans should specify how performance appraisals will be used by those who are rating and ranking qualified applicants for referral to selecting officials. (FPM Supplement 335-1, subpara B-8f.)

### 2-6. PROBATIONARY OR TRIAL PERIODS

a. New employees enter their regularly scheduled annual rating periods based on their pay plan and grade (except Career Interns,

refer to subpara 1-5b). Raters should begin monitoring new employees immediately to determine if they are willing and able to perform the work and are otherwise suited for retention in their positions. Although formal PIPs are not required for Ratees who are serving probationary appointments, Raters normally should provide Ratees who are not meeting expectations with enough information to help them understand how they are failing and how they might improve. Upon determination that probationary Ratees either will not or cannot meet expectations, Raters must begin action to terminate them from their positions and/or from Federal service. (NOTE: Ratings of Successful Level 3 or higher rendered early during probationary or trial periods do not preclude subsequent decisions that Ratees are not performing at expected levels or otherwise suitable to be retained. However, Raters should be able to provide specific examples either of how performance and/or conduct deteriorated after the rating was assigned or how the conduct used to support the termination was unrelated to the performance appraisal.) (AR 690-300, Chap 315)

b. Employees serving probationary periods for initial appointments to supervisory/managerial positions who do not meet expectations set forth in performance plans that relate to supervisory/managerial responsibilities will be returned to nonsupervisory/non-managerial positions. That decision can be made at any time during the one-year probationary period. Although formal notice and opportunity to improve are not required, supervisors generally should provide at least enough information so that the Ratee understands specific deficiencies in time to try to make corrections. (NOTE: Successful Level 3 or higher Overall Performance Ratings rendered early during the supervisory/managerial probationary period do not preclude subsequent decisions that individuals are not successfully performing the supervisory/managerial aspects of their positions. However, Raters should be able to provide specific examples of deficiencies which occurred after the rating was rendered.) (FPM Chapter 315, subchap 9)

c. Decisions to remove probationary employees may be made at any time during the probationary period. ACPERS produces suspense notices for Raters to make decisions to retain or remove probationary Ratees no later than the end of the ninth month from the Ratee's appointment. This advance notice is to give Raters enough time to effect necessary actions under the simplified probationary procedures if the Ratee is not to be retained. Supervisors certify their decisions concerning probationary Ratees on the ACPERS-generated form letter, copy at Appendix B, which is disseminated by the servicing Civilian Personnel Office.

### 2-7. REDUCTION IN FORCE (RIF)

Procedures for adjusting service computation dates (SCD) for RIF based on ratings of record will be in accordance with 5 CFR 351, subpart E and AR 690-300, Chapter 351. The effective date for performance appraisals is the date on which the Senior Rater signed the appraisal. If the senior rater is not utilized, the effective date is the date the rater signed the appraisal.

### 2-8. REASSIGNMENT, REDUCTION IN GRADE, REMOVAL

For Unsuccessful Performance. At any time during the rating period that a Ratee who has completed the probationary period fails to meet a Responsibility or Objective, the Rater must provide the Ratee with a PIP. A PIP should provide written information to the Ratee on specific deficiencies and necessary improvements and establish a reasonable timeframe in which the Ratee must improve before corrective action is initiated. PIP notices should also define assistance to be provided to help the Ratee meet expectations (e.g. formal training, on-the-job training, coaching and counseling, and closer supervision). Ratees who fail to improve or who improve but fail to sustain the improvements for at least a year from the beginning of the PIP will be reassigned, reduced in grade, or removed. (See AR 690-400, Chap 432). (NOTE: Under some circumstances adverse actions for performance-based problems may be initiated under Chapter 75 procedures without a PIP.)

## **Subchapter 3 Performance Evaluation Documents**

### **3-1. PERFORMANCE PLANS**

Performance plans are recorded on DA Form 7223-1, for Ratees covered by the Base system; on DA Form 7222-1, for Ratees in the Senior system; and/or on the Integrated Core Document (ICD) for Ratees whose performance plans are produced in ICD format. Both the Rater and the Ratee should keep updated copies of the current performance plan. Copies of applicable performance plans are attached to completed performance appraisals which are submitted to the Civilian Personnel Offices for processing.

### **3-2. IN-PROGRESS REVIEW DOCUMENTATION**

Performance reviews during the rating period should be documented on DA Form 7223-1 for employees in the Base system and on DA Form 7222-1 for employees in the Senior system, or on the ICD for Ratees whose performance plans are so generated. If adequate space is not provided on these two forms, additional pages may be attached.

### **3-3. WRITTEN PERFORMANCE APPRAISALS**

*a.* Written appraisals. Written annual or special performance appraisals will be prepared on DA Form 7223 for Ratees in the Base System and on DA Form 7222 for Ratees in the Senior System. Copies of completed appraisals should be distributed as follows:

(1) Annual appraisals. Completed annual appraisals should be reproduced in an original and two copies—the original going to the Ratee, one copy retained by the Rater, and one copy submitted to the Civilian Personnel Office for filing either in the Official Personnel File or the Employee Performance File (see 5 CFR 293.402) and entering into ACPERS. Performance appraisals with plans attached are retained for four years.

(2) Special appraisals. Special appraisals should be completed in an original and two copies—the original going to the Ratee; one copy submitted to the Rater of record to be attached to the annual appraisal; and one, retained by the Rater of the Special appraisal. Special appraisals do not go to the Personnel Office when completed. They are attached to Annual appraisals at the end of the rating period.

*b.* Corrections to written appraisals. Discrepancies in written appraisals should be corrected as soon as possible after they are discovered. Discrepancies can result from causes such as clerical errors that unintentionally changed content; from grievances, appeals, or other complaint procedures; or because of new information which had enough impact on the completed appraisal that it changes the appraisal and/or the rating. Corrective action should include the following:

(1) Preparation of a corrected performance appraisal, DA Form 7222 or DA Form 7223, to include signatures by the appropriate raters.

(2) Destruction of official copies of the erroneous performance appraisal.

(3) Appropriate distribution of the corrected appraisal.

(4) Adjustment to personnel actions which were based on the erroneous overall performance rating.

## Appendix A Additional Guidance. Written Performance Appraisals

### 1. ANNUAL APPRAISALS

*a. Rating periods.* Rating periods normally cover one year, but must cover at least 120 days. Circumstances sometimes require that a Ratee be appraised out of cycle. Examples of situations requiring lengthened or shortened rating periods are discussed below.

*b. Shortened rating periods.* Ratees usually receive annual appraisals for periods of less than one year under the following circumstances:

(1) The Ratee enters a position after the rating cycle begins, the annual rating period ends, and he/she has worked under a Performance Plan for at least 120 days. [NOTE: If the Ratee has already received a rating of record for that rating year (e.g., the Ratee was promoted within four months from the end of the cyclic period at the lower grade and was or will be rated at the lower grade), the Rater should add the time in the new positions to the next rating period rather than completing a second rating of record.]

(2) A Ratee who was reduced in grade or reassigned as a result of an Unsuccessful (Level 5) performance rating has worked under a performance plan for 120 days or more in the lower-graded position. (Until the Ratee is rated in the new position, his/her current rating of record is a presumed Successful Level 3.)

(3) The Rater leaves within 120 days from the end of the Ratee's annual rating period.

(4) The Ratee leaves the position within 120 days from the end of his/her annual rating period.

(5) The Ratee is serving in a position to which temporarily promoted and has been promoted into the position for at least 120 days when the annual rating cycle ends. In this case, the Rater of the position to which temporarily promoted prepares the annual appraisal. Performance for the current rating period prior to the temporary promotion may be assessed in a Special appraisal which is attached to the Annual appraisal.

(6) An employee serving an overseas local hire appointment who meets the criteria set forth in 5 CFR 315.608(a) is terminated. (NOTE: Rating periods for these individuals may be shorter than 120 days.)

*c. Extended rating periods.* Rating periods are extended usually to allow a Ratee to work the minimum 120-day rating period in a position under an approved performance plan before being appraised. The following are some examples of situations in which a rating period might be extended. In these cases, a rating of record should be prepared as soon as the employee works for 120 days under an approved performance plan.

(1) The Ratee was on long-term training in a classroom environment and did not work under an approved performance plan for 120 days by the end of the cyclic rating period.

(2) The Ratee was on extended sick leave and did not complete 120 days of the cyclic rating period under an approved performance plan.

(3) The Ratee is in a performance improvement period (PIP).

(4) The Ratee is in a notice period for proposed disciplinary or adverse action based upon an offense that, if sustained, will have a direct impact on the performance appraisal.

*d. Due dates.* Annual appraisals are due in the Civilian Personnel Office as soon as practical after the end of the rating period but at least within 45 days.

### 2. SPECIAL APPRAISALS

*a. General.*

(1) Ratees who are detailed, temporarily promoted, or otherwise assigned away from their normal duties for 120 days or more during their annual rating cycles should receive performance plans and Special appraisals. Information provided in Special appraisals should be considered by the rating chain in preparing the annual appraisal. (If Ratees are on details or temporary promotions when

their rating periods end, annual appraisals should be prepared. Please see paragraph 1-5j of this regulation.)

(2) Special appraisals have the same requirements for performance plans, authentication, and assignment of overall performance ratings as do ratings of record, except that a Special appraisal used to return a probationary manager/supervisor to a nonmanagerial/nonsupervisory position need address only failure to meet expectations pertaining to supervision or management.

(3) Special appraisals and performance plans are not sent to the Civilian Personnel Office when they are completed. Rather, they are attached to annual appraisals and filed in either the OPF or EPF with the annual appraisal.

(4) Special ratings are not entered into ACPERS.

(5) Due dates. Special appraisals should be completed as soon as possible after the end of the special rating but at least within 45 days.

*b. Departure of Raters.* Raters who leave their positions should issue special appraisals for all Ratees under their supervision who have been under approved performance plans for at least 120 days. [NOTE: They should issue annual appraisals for those Ratees who have 120 days or less remaining to their current rating periods.]

*c. Departure of Ratees.* Ratees who leave their positions to accept other Federal positions after completing at least 120 days under approved performance plans should receive special appraisals to provide to their gaining supervision. [NOTE: Special and annual appraisals are not required if they would serve no purpose to Army or the Ratee; e.g. the employee is retiring or accepting employment with a private firm.]

*d. Acceptable level of competence (ALOC) decisions.* If a GS employee's most recent rating of record does not reflect the employee's current level of performance and support an appropriate ALOC determination to grant or deny a within-grade increase, the rating chain should issue a new rating of record appraisal for the ALOC decision. A copy of that rating of record which is used to deny a WIGI should be included in the adverse action file.

*e. Ratings or Other Written Notices prior to a PIP.* Raters should strive to place Ratees who are failing to meet expectations on a PIP before the annual rating cycle ends. A Ratee whose performance deteriorates to Fails in one or more Objectives or Responsibilities should receive written notice specifying problem areas and improvements needed to meet expectations. This written notice could be in a number of forms, including a Special appraisal. At the conclusion of the PIP, the Ratee should receive another written notice which could be a letter, a memorandum, or a special or an annual appraisal (depending upon the annual rating schedule)—indicating improvement or serving as the basis for appropriate performance-based action. [NOTE: If the annual rating period ends and the rating chain renders a rating of record of Unsuccessful Level 5 without a PIP and the Ratee improves during the PIP, another rating of record should be issued at the conclusion of the PIP. This second rating does not negate the rating of Unsuccessful Level 5 (i.e. the first rating remains in the ACPERS data base and is used to adjust Service Computation Date for RIF); however, it does become the Ratee's "current rating of record" which is used for purposes such as within-grade increase decisions.]

### 3. ADDITIONAL GUIDANCE

*a.* Special or other types of written appraisals transferred from other Federal agencies or Army activities should be attached to annual appraisals. The information provided must be considered by the rating chain in preparing the annual rating.

*b.* If a Ratee spends most of a rating period on detail (e.g. 8 months or more), the rating chain may choose to convert the special appraisal to the annual appraisal by completing the administrative data (Part I on the DA Form 7222 or DA Form 7223), referencing the attached Special appraisal, indicating that it is accepted as the rating of record, and signing the Evaluation Report in Part II as appropriate (e.g. Rater, Senior Rater, Ratee).

**Prescribed Forms**

**DA Form 7222**

Senior System Civilian Evaluation Report

**DA Form 7222-1**

Senior System Civilian Evaluation Report Support Form

**DA Form 7223**

Base System Civilian Evaluation Report

**DA Form 7223-1**

Base System Civilian Performance Counseling Checklist/Record

**Appendix B**  
**ACPERS—Generated Letter**  
**Probationary and Trial Period**

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REPLY TO: CIVILIAN PERSONNEL OFFICE

SUBJECT: COMPLETION OF PROBATION/TRIAL PERIOD

TO: MS. JANICE R. SMITH, CHIEF, SUPPLY DIVISION

MR. JOHN G. DOE WILL COMPLETE HIS/HER ONE YEAR PROBATIONARY/TRIAL PERIOD IN HIS/HER NEW POSITION/SUPERVISORY POSITION ON 6 MAY 91. AS THIS INDIVIDUAL'S SUPERVISOR, YOU MUST CERTIFY WHETHER CONDUCT/PERFORMANCE ARE AT A LEVEL TO WARRANT RETENTION OF THIS PERSON IN HIS/HER CURRENT POSITION. YOU MAY DO SO BY CHECKING THE APPROPRIATE BLOCK BELOW; PROVIDING YOURS AND THE EMPLOYEE'S SIGNATURE AND THE DATE ON THE FORM; AND RETURNING IT TO THE CIVILIAN PERSONNEL OFFICE WITHIN TWO WEEKS FROM THE DATE OF THIS TRANSMISSION.

FROM: SUPERVISOR

1) I HAVE HELD A COUNSELING SESSION WITH THIS PROBATIONARY/TRIAL EMPLOYEE/SUPERVISOR. MY DECISION IS SUMMARIZED BELOW:

(a) SUCCESSFUL PERFORMANCE: (PLEASE CHECK ONE OF THE TWO BLOCKS)

(1)  EMPLOYEE IS SUCCESSFUL IN ALL ELEMENTS OF JOB PERFORMANCE AND CONDUCT AND SHOULD BE RETAINED IN HIS/HER PRESENT POSITION; OR

(2)  SUPERVISOR IS SUCCESSFUL IN ALL SUPERVISORY/MANAGERIAL ELEMENTS OF THE POSITION AND SHOULD BE RETAINED.

(b) UNSUCCESSFUL PERFORMANCE:

EMPLOYEE IS NOT SATISFACTORY IN ALL ELEMENTS OF JOB PERFORMANCE AND CONDUCT. I HAVE DISCUSSED THIS WITH THE EMPLOYEE RELATIONS SPECIALIST AND HAVE INITIATED ACTION TO ACCOMPLISH THE FOLLOWING:

ADDITIONAL TRAINING       REASSIGNMENT       DEMOTION

SEPARATION

JANICE R. SMITH 1 MAR 91  
SUPERVISOR SIGN AND DATE

JOHN G. DOE 1 MAR 91  
EMPLOYEE SIGN AND DATE

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Appendix C is rescinded. DOD 1400.25-M, subchapter 430, appendix B, is to be used as documentation of OPM approval of the DOD performance appraisal system.

## Glossary

### Section I Abbreviations

#### Base System

Army's performance appraisal system covering employees in the following pay plans and grades: WL, WG, WS/GS-8/below (excluding Career Interns) and equivalent levels in other pay plans (e.g. Power Plant Trainees).

#### Counseling Checklist

Base system Performance Plan as required by 5 CFR 430.

#### Days

Calendar days.

#### Employees

All individuals to whom this chapter applies (see para 1-3.)

#### General Schedule

Pay plan referred to as GS.

#### Intermediate Rater

The individual who occupies a supervisory position in the Ratee's chain of command which falls between that of the Rater and the Senior Rater. (NOTE: Whether or not to include Intermediate Raters in individual rating chains is a local activity commander or equivalent decision.)

#### Integrated Core Document (ICD)

The document generated by the DOD-wide automated system which produces job descriptions; Knowledges, Skills, and Abilities for recruitment purposes; and individual performance plans.

#### Objective

A critical element in the Senior system as defined in 5 CFR 430.

#### Objective Rating

The adjectival rating assigned to each Objective that the Ratee in the Senior System had a reasonable opportunity to perform (see para. 1-5g).

#### Overall Performance Rating

The summary rating assigned to describe the Ratee's overall performance for the rating period.

#### Performance

The Ratee's accomplishment of documented expectations set forth during performance discussions.

#### Performance Appraisal

The act or process of reviewing and evaluating the Ratee's achievements against documented expectations and the results of the review and evaluation that are recorded on the Performance Evaluation Report form. (DA Form 7222 for Senior and DA Form 7223 for Base systems.)

#### Performance Plan

Performance-related expectations documented on DA Form 7223-1 in the Base System; DA Form 7222-1 in the Senior System, or on the ICD for those employees whose job descriptions are so generated. The performance plan uses the job description and the work unit's mission and goals as its base and includes reprinted Responsibilities (Base System only), pre-printed Performance Standards, and individual work and professional development expectations.

#### Performance Standard

Statements of the types and levels of performance expected which serve as measuring tools to be used in assessing Responsibilities and Objectives.

#### Program Reviews

Reviews of the Ratee's achievements that take place at least around the midpoint of the rating period.

#### Ratee

The employee who is being rated.

#### Rater

The individual in the Ratee's chain of command, normally the immediate supervisor, who establishes performance expectations and who proposes overall performance appraisals and ratings.

#### Rating Chain

The Rater, Intermediate Rater (optional) and Senior Rater.

#### Rating of Record

The Overall Performance Rating assigned to the annual appraisal.

#### Rating Period

The period of time, normally 1 year but not less than 120 days under an approved performance plan, for which the employee receives a written performance appraisal.

#### Responsibility

A critical element in the Base system as defined by 5 CFR 430.

#### Responsibility Rating

The adjectival rating assigned to each Responsibility in the Base System (see subpara 1-6h.)

#### Senior Level

Pay plan for leadership positions classified above GS-15 which are referred to as SL.

#### Senior Rater

The individual in the Ratee's supervisory chain of command who is at a higher level in the organization than the Rater. Senior Raters must review all Unsuccessful ratings. The use of Senior Raters to review performance plans and ratings of Fair and above is a MACOM or Independent Reporting Activity decision

which may be delegated down the chain of command.

#### Senior System

Army's performance appraisal system covering employees in the following pay plans and grades: SES, SL, ST, GM, WS/GS-9 and above, employees in equivalent pay plans and grades and Career Interns.

#### Special Appraisal

Appraisals issued for purposes other than the end of the annual rating cycle (e.g. at end of temporary promotions and details or when the current rating of record does not support an Acceptable Level of Competence decision).

#### ST

The code for the pay plan for scientific and professional positions classified above GS-15.

#### Support Form

Senior system Performance Plan as required by 5 CR 430,

#### Values

DA values prescribed by Army's senior leadership and displayed in Part V of the Civilian Evaluation Report Forms, DA Forms 7222 and 7223. They are Loyalty, Duty, Respect, Selfless Service, Honor, Integrity, and Personal Courage.

#### Wage Grade

Nonsupervisory positions classified in the Federal Wage System and referred to as WG.

#### Wage Leader

Leader positions classified in the Federal Wage System and referred to as WL.

#### Wage Supervisor

Supervisory positions classified in the Federal Wage System and referred to as WS.

## SENIOR SYSTEM CIVILIAN EVALUATION REPORT

For use of this form, see AR 690-400; the proponent agency is ASA(M&RA).

### PART I - ADMINISTRATIVE DATA

a. NAME (Last, First, Middle Initial)		b. POSITION TITLE, PAY PLAN, SERIES AND GRADE	
c. ORGANIZATION/INSTALLATION		d. REASON FOR SUBMISSION <input type="checkbox"/> ANNUAL <input type="checkbox"/> SPECIAL <input type="checkbox"/> INTERN	
e. PERIOD COVERED (YYYYMMDD) FROM                      THRU	f. RATED MOS. <input type="checkbox"/> GIVEN TO RATEE	g. RATEE COPY (Check one and date) <input type="checkbox"/> FORWARDED TO RATEE	

### PART II - AUTHENTICATION

a. NAME OF RATER (Last, First, Middle Initial)	SIGNATURE	DATE (YYYYMMDD)
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT		
b. NAME OF INTERMEDIATE RATER (Optional)(Last, First, MI)	SIGNATURE	DATE (YYYYMMDD)
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT		
c. NAME OF SENIOR RATER (Last, First, Middle initial)(If used)	SIGNATURE	DATE (YYYYMMDD)
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT		
d. RATEE: I understand my signature does not constitute agreement or disagreement with the evaluations of the Rater and Senior Rater, and merely verifies Part I and Part IV data.	SIGNATURE OF RATEE	DATE (YYYYMMDD)

### PART III - PERFORMANCE AWARD/QUALITY STEP INCREASE

a. SES - AWARD, BONUS/ SALARY INCREASE	RECOMMENDATIONS				b. ST, SL, GM, GS, WS - PERFORMANCE AWARD/QSI	
	RATING (1)	SALARY (2)		PERFORMANCE AWARD - BONUS (3)		PERCENT OF SALARY (INCLUDES Locality Pay)    % (OR)
RECOMMENDING OFFICIALS		YES	NO	YES	NO	AMOUNT \$                      (OR)
RATER		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	QSI (GS with Successful Level 1 Rating Only - minimum of 52 weeks must have elapsed since last QSI)
INTERMEDIATE RATER		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	TO (Grade/Step):
PERFORMANCE REVIEW BOARD		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	AWARD APPROVED BY
SENIOR RATER		ES		\$		DATE (YYYYMMDD)      FUND CITE

### PART IV - DUTY DESCRIPTION (Rater)

DAILY DUTIES AND SCOPE (To include as appropriate: people, equipment, facilities, and dollars). Position Description (DA Form 374) is correct:     YES     NO

### PART V - VALUES (Rater)

<b>VALUES</b> Loyalty Duty Respect Selfless service Honor Integrity Personal courage	<b>BULLET COMMENTS</b>      
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## SENIOR SYSTEM CIVILIAN EVALUATION REPORT SUPPORT FORM

For use of this form, see AR 690-400; the proponent agency is ASA(M&RA)

### PART I - RATEE IDENTIFICATION

a. NAME OF RATEE <i>(Last, First, Middle Initial)</i>	b. PAY PLAN, SERIES/GRADE	c. ORGANIZATION/INSTALLATION
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### PART II - RATING CHAIN - YOUR RATING CHAIN FOR THE EVALUATION PERIOD IS:

RATER	NAME	POSITION
INTERMEDIATE RATER <i>(Optional)</i>	NAME	POSITION
SENIOR RATER	NAME	POSITION

### PART III - VERIFICATION OF FACE-TO-FACE DISCUSSION

The following face-to-face discussions of duties, responsibilities, performance objectives, standards, and accomplishments for the rating period \_\_\_\_\_ to \_\_\_\_\_ took place:

	DATES	RATEE INITIALS	RATER INITIALS	INTERMEDIATE RATER INITIALS	SENIOR RATER INITIALS <i>(If used)</i>	DATE
INITIAL						
MIDPOINT						

### PART IV - RATEE *(Complete a, b, c below for this rating period)*

a. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES. DUTY TITLE IS:

b. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES/INDIVIDUAL PERFORMANCE STANDARDS

c. LIST YOUR SIGNIFICANT CONTRIBUTIONS

\_\_\_\_\_  
SIGNATURE AND DATE

**PART V - PERFORMANCE STANDARDS - SENIOR SYSTEM CIVILIAN POSITIONS**

To derive Objectives ratings, apply the applicable performance standards below; the standards are written at the SUCCESS level, e.g., Ratee, in most cases:

**TECHNICAL COMPETENCE.** Exhibits technical knowledge, skills, and abilities to get desired results within established time frames and with the appropriate level of supervision. Sets and meets realistic milestones. Establishes priorities that reflect mission and organizational needs. Plans so that adequate resources are available. Makes prompt and sound decisions.

**INNOVATION/INITIATIVE.** Develops and implements or suggests better ways of doing business--methods, equipment, processes, resources. Seeks/accepts developmental opportunities. Serves on professional/technical committees, writes technical papers, joins professional societies to enhance personal knowledge and advance state-of-the-art of profession.

**RESPONSIBILITY/ACCOUNTABILITY.** Uses resources prudently and for intended purposes. Complies with DA emphasis programs, e.g., EEO/AA, safety/security, internal control, inventory management, quality assurance, personnel management, contract awards to small business concerns. Supports and encourages Total Army Quality (TAQ) approaches, e.g., team effort, continuous process/product improvement and customer satisfaction. Takes responsibility for personal errors, takes or proposes timely/adequate corrective measures. Establishes personal performance objectives that are challenging and reflect mission needs.

**WORKING RELATIONSHIPS.** Is an effective team player. Works well with group and others to get the job done. Exhibits a customer care attitude; e.g., shows respect to others; is courteous and seeks acceptable compromise in areas of difference.

**COMMUNICATION.** Provides or exchanges accurate/complete oral and written ideas and information in a timely manner. Listens effectively so that resultant actions show understanding of what was said. Coordinates so that all relevant individuals and functions are included in/informed of decisions and actions.

**FOR SUPERVISORY POSITIONS ONLY:**

**ORGANIZATIONAL MANAGEMENT AND LEADERSHIP.** Provides vision and communicates mission and organizational goals to all subordinates. Sets standard/leads by example. Implements/complies with appropriate DA emphasis programs. Secures/allocates/manages resources for effectiveness and efficiency. Takes timely and appropriate personnel actions. Develops subordinates through mentoring, counseling, providing challenging training and work assignments and timely performance evaluations. Recruits and retains high quality people by creating a positive environment that offers challenge and growth.

**EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION (EEO/AA).** Applies EEO principles to all aspects of personnel management (e.g., hiring, training, work assignments/schedules, discipline, counseling and awards). As appropriate, takes immediate corrective action if sexual harassment or other discriminatory/unfair treatment is observed, reported or suspected. Provides leadership and emphasis to the execution of the Affirmative Employment Plan. Participates in EEO/AA activities and encourages subordinates to do so.

## BASE SYSTEM CIVILIAN EVALUATION REPORT

For use of this form, see AR 690-400; the proponent agency is ASA(M&RA)

### PART I - ADMINISTRATIVE DATA

a. NAME <i>(Last, First, Middle Initial)</i>		b. POSITION TITLE, PAY PLAN, SERIES AND GRADE	
c. ORGANIZATION/INSTALLATION		d. REASON FOR SUBMISSION <input type="checkbox"/> ANNUAL <input type="checkbox"/> SPECIAL	
e. PERIOD COVERED (YYYYMMDD) FROM                      THRU	f. RATED MOS. <input type="checkbox"/>	g. RATEE COPY <i>(Check one and date)</i> <input type="checkbox"/> GIVEN TO RATEE <input type="checkbox"/> FORWARDED TO RATEE	

### PART II - AUTHENTICATION

a. NAME OF RATER <i>(Last, First, Middle Initial)</i>	SIGNATURE	DATE (YYYYMMDD)
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT		
b. NAME OF INTERMEDIATE RATER <i>(Optional)(Last, First, MI)</i>	SIGNATURE	DATE (YYYYMMDD)
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT		
c. NAME OF SENIOR RATER <i>(Last, First, Middle Initial) (If used)</i>	SIGNATURE	DATE (YYYYMMDD)
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT		
d. RATEE: I understand my signature does not constitute agreement or disagreement with the evaluations of the Rater and Senior Rater, and merely verifies Part I and Part IV data.	SIGNATURE OF RATEE	DATE (YYYYMMDD)

### PART III - PERFORMANCE AWARD/QUALITY STEP INCREASE

PERCENT OF SALARY (INCLUDES Locality Pay)	% (OR)	AWARD APPROVED BY	
AMOUNT \$	(OR)		
QSI <i>(GS with Successful Level 1 Rating Only - minimum of 52 weeks must have elapsed since last QSI)</i> TO <i>(Grade/Step)</i>		DATE (YYYYMMDD)	FUND CITE

### PART IV - DUTY DESCRIPTION *(Rater)*

a. DAILY DUTIES AND SCOPE <i>(To include as appropriate: people, equipment, facilities, and dollars).</i> Position Description is correct:	<input type="checkbox"/> YES <input type="checkbox"/> NO
b. AREAS OF SPECIAL EMPHASIS	

c. COUNSELING DATES FROM CHECKLIST/RECORD	INITIAL	LATER <i>(Optional)</i>	MIDPOINT	LATER <i>(Optional)</i>
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### PART V - VALUES *(Rater)*

<b>VALUES</b> Loyalty Duty Respect Selfless service Honor Integrity Personal courage	BULLET COMMENTS

RATEE'S NAME <i>(Last, First, Middle Initial)</i>	THRU DATE <p style="text-align: center;">Thru</p>								
<b>b. RESPONSIBILITIES</b>	Specific bullet examples of other than "SUCCESS," are mandatory. Specific bullet examples of "SUCCESS" are optional but encouraged.								
<b>1. TECHNICAL COMPETENCE</b> Technical knowledges, skills, abilities Doing work right/on time Sound judgement  <table style="width:100%; border: none;"> <tr> <td style="text-align: center;">EXCELLENCE <i>(Exceeds std)</i></td> <td style="text-align: center;">SUCCESS <i>(Meets std)</i></td> <td style="text-align: center;">NEEDS IMPROVEMENT</td> <td style="text-align: center;">FAILS</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	EXCELLENCE <i>(Exceeds std)</i>	SUCCESS <i>(Meets std)</i>	NEEDS IMPROVEMENT	FAILS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
EXCELLENCE <i>(Exceeds std)</i>	SUCCESS <i>(Meets std)</i>	NEEDS IMPROVEMENT	FAILS						
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
<b>2. ADAPTABILITY AND INITIATIVE</b> Adjusting to change - situations/people Trying new things Seeking self-development  <table style="width:100%; border: none;"> <tr> <td style="text-align: center;">EXCELLENCE <i>(Exceeds std)</i></td> <td style="text-align: center;">SUCCESS <i>(Meets std)</i></td> <td style="text-align: center;">NEEDS IMPROVEMENT</td> <td style="text-align: center;">FAILS</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	EXCELLENCE <i>(Exceeds std)</i>	SUCCESS <i>(Meets std)</i>	NEEDS IMPROVEMENT	FAILS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
<b>3. WORKING RELATIONSHIPS &amp; COMMUNICATIONS</b> Supporting team Respecting others Expressing ideas clearly Listening/understanding  <table style="width:100%; border: none;"> <tr> <td style="text-align: center;">EXCELLENCE <i>(Exceeds std)</i></td> <td style="text-align: center;">SUCCESS <i>(Meets std)</i></td> <td style="text-align: center;">NEEDS IMPROVEMENT</td> <td style="text-align: center;">FAILS</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	EXCELLENCE <i>(Exceeds std)</i>	SUCCESS <i>(Meets std)</i>	NEEDS IMPROVEMENT	FAILS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
EXCELLENCE <i>(Exceeds std)</i>	SUCCESS <i>(Meets std)</i>	NEEDS IMPROVEMENT	FAILS						
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
<b>4. RESPONSIBILITY AND DEPENDABILITY</b> Dependable/reliable Maintaining facilities/equipment Conserving supplies/time People/equipment safety  <table style="width:100%; border: none;"> <tr> <td style="text-align: center;">EXCELLENCE <i>(Exceeds std)</i></td> <td style="text-align: center;">SUCCESS <i>(Meets std)</i></td> <td style="text-align: center;">NEEDS IMPROVEMENT</td> <td style="text-align: center;">FAILS</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	EXCELLENCE <i>(Exceeds std)</i>	SUCCESS <i>(Meets std)</i>	NEEDS IMPROVEMENT	FAILS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
<b>Numbers 5 and 6 apply to positions with some supervisory duties</b>									
<b>5. SUPERVISION AND LEADERSHIP</b> Mission focused/performance oriented Sets standard/Leads by example Motivating/developing others Implementing DA emphasis programs/managing resources  <table style="width:100%; border: none;"> <tr> <td style="text-align: center;">EXCELLENCE <i>(Exceeds std)</i></td> <td style="text-align: center;">SUCCESS <i>(Meets std)</i></td> <td style="text-align: center;">NEEDS IMPROVEMENT</td> <td style="text-align: center;">FAILS</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	EXCELLENCE <i>(Exceeds std)</i>	SUCCESS <i>(Meets std)</i>	NEEDS IMPROVEMENT	FAILS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
<b>6. EEO AND AFFIRMATIVE ACTION</b> Respecting dignity Achieving planned actions Providing opportunity Solving problems  <table style="width:100%; border: none;"> <tr> <td style="text-align: center;">EXCELLENCE <i>(Exceeds std)</i></td> <td style="text-align: center;">SUCCESS <i>(Meets std)</i></td> <td style="text-align: center;">NEEDS IMPROVEMENT</td> <td style="text-align: center;">FAILS</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	EXCELLENCE <i>(Exceeds std)</i>	SUCCESS <i>(Meets std)</i>	NEEDS IMPROVEMENT	FAILS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
EXCELLENCE <i>(Exceeds std)</i>	SUCCESS <i>(Meets std)</i>	NEEDS IMPROVEMENT	FAILS						
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
<b>PART VI - SENIOR RATER <i>(if used)</i> or RATER <i>(no senior rater used)</i></b>	<b>PART VII - SENIOR RATER <i>(if used)</i></b>								
<b>OVERALL PERFORMANCE</b>  <table border="1" style="width:100%; border-collapse: collapse; text-align: center;"> <tr> <td style="width: 15%;">1</td> <td style="width: 15%;">2</td> <td style="width: 15%;">3</td> <td style="width: 15%; background-color: black;">4</td> <td style="width: 15%; background-color: black;">5</td> </tr> </table> <p style="text-align: center;"><b>SUCCESSFUL      FAIR      UNSUCCESSFUL</b> (MUST Have Senior Rater Review)</p> <p>A completed DA Form 7223-1 was received with this report and considered in my evaluation and review:</p> <p><input type="checkbox"/> YES      <input type="checkbox"/> NO <i>(Explain)</i></p>	1	2	3	4	5	<b>BULLET COMMENTS <i>(Performance/Potential)</i></b>			
1	2	3	4	5					

**BASE SYSTEM CIVILIAN PERFORMANCE COUNSELING CHECKLIST/RECORD**

For use of this form, see AR 690-400; the proponent agency is ASA(M&RA)

RATEE	RATER
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ORGANIZATION/INSTALLATION	INTERMEDIATE RATER <i>(Optional)</i>
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PAY PLAN, SERIES/GRADE	RATING PERIOD	SENIOR RATER
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**PURPOSE.** The primary purpose of counseling is to define organizational mission and values, discuss individual job expectations and performance, reinforce good performance/work related behavior, correct problem performance/work related behavior, and enhance the Ratee's ability to set and reach career goals. The best counseling is forward looking, concentrating on the future and what needs to be done better. Counseling should be timely. Counseling only at the end of the rating is too late since misunderstandings that impact performance and work related behavior cannot be resolved in time for improvement before the next annual rating.

**RULES FOR COUNSELING.**

1. Face-to-face counseling is mandatory for all civilians in the Base System.
2. Use this form along with a working copy of the Evaluation Form *(DA Form 7223)* and the Ratee's position description for conducting performance counseling and recording counseling content/dates.
3. Conduct initial counseling within at least the first 30 days of each rating period and again at the midpoint of the rating period.

**CHECKLIST - COUNSELING AT THE BEGINNING OF THE RATING PERIOD**

**PREPARATION**

1. Schedule the counseling session and notify the Ratee; suggest the Ratee write down or be ready to discuss ideas about expectations and requirements.
2. Get a copy of the Ratee's position description, rating chain, the counseling checklist, and a blank evaluation form.
3. Think how each Value and each Responsibility in Part V of the evaluation form applies.
4. Decide what you consider necessary for success in each Value/Responsibility. Be specific.
5. Make notes to help you with counseling.

**COUNSELING**

1. Explain the rating chain and the roles of each rater.
2. Discuss the position description. If the Ratee has worked in the job before, ask if he/she believes the description is accurate.
3. Discuss items that require top priority effort *(areas of special emphasis)*--realizing this may change later.
4. Discuss each Value/Responsibility in Part V of the evaluation form. Ask the Ratee for ideas about what Values mean and how he/she might perform assigned duties.
5. Review the Ratee's written input if he/she provides it.
6. Discuss what tasks and level of performance you expect for Success.
7. If you and the Ratee have different views, discuss them until you both are clear on requirements. Even if the Ratee disagrees, he/she must understand what you expect.
8. Using the DA-established performance standards and the tasks to be accomplished give examples of Excellence to give the Ratee specifics to aim for.
9. Ask the Ratee about career goals and training needs.

**AFTER COUNSELING**

1. Summarize key points of the counseling on the back of this form and initial in the block provided. You may attach additional pages.
2. Give the Ratee the form to review/initial.
3. If the Ratee gave written input, attach it.
4. Forward the checklist through the rating chain to the Senior Rater *(if used)* who should review and, when satisfied that requirements are in line with mission needs, initial and date the checklist and return it to you.
5. Give the Ratee a copy and keep the original to use for the next counseling session.

**CHECKLIST - LATER COUNSELING SESSION(S)**

**PREPARATION**

1. Schedule the counseling session with the Ratee. Tell him/her to come prepared to discuss accomplishments and review requirements and effectiveness of any completed training.
2. Review notes from the last session.
3. Consider whether priorities or expectations have changed.
4. For each Value/Responsibility, answer these questions: What has the Ratee done? What was done well? Why? What could have been done better? Why?
5. Make notes to help focus when counseling.

**COUNSELING**

1. Discuss job requirements and areas of special emphasis and priorities that have changed or that are new. Ask the Ratee if he/she is having problems and needs your help.
2. If the Ratee gives written input, review it.
3. Tell how the Ratee is doing. Talk specific examples of observed actions/results. Discuss differences in your views. Offer assistance if needed. The goal is to help the Ratee succeed.
4. Give examples of Excellence that occurred or could have occurred.
5. At least during the midpoint counseling session, discuss the Ratee's career goals, the effectiveness of training, and the Ratee's potential to perform higher level or different tasks.

**AFTER COUNSELING**

1. Follow the same procedures for documenting, initialing, and dating as you did for the initial session.
2. At the end of the rating period, use the checklist to prepare the Ratee's evaluation. Then attach the Counseling Checklist/Record to the performance evaluation for use by the rating chain. After the Senior Rater signs the performance evaluation, he/she returns it to the Rater to discuss with the Ratee, if a senior rater is used. After the Ratee signs, the Rater submits the evaluation with the checklist to the servicing personnel office for filing.

**DA RESPONSIBILITIES AND PERFORMANCE STANDARDS**

To derive Responsibilities ratings, think about the tasks that were performed under each Responsibility and apply the following performance standards which are written at the Success (*Meets*) level; e.g., the Ratee usually:

**TECHNICAL COMPETENCE.** Has knowledge, skills and abilities to do the work. Produces expected quality and volume. Meets deadlines. Works with right amount of supervision. Gets desired results.

**ADAPTABILITY/INITIATIVE.** Can work under pressure or during changing conditions. Is willing to try new ways. Suggests better ways to do business. Seeks/accepts developmental opportunities.

**WORKING RELATIONSHIPS/COMMUNICATIONS.** As a team member, works well with group and helps others get the job done. Expresses ideas clearly. Follows instructions or asks for clarification. Shows respect and is courteous. Shows concern for customer.

**RESPONSIBILITY/DEPENDABILITY.** Accepts responsibility for own actions. Keeps work area in order and equipment maintained. Uses supplies, equipment and time as intended. Complies with DA emphasis programs, e.g., Total Army Quality (*TAQ*), safety/security, internal control, inventory management, quality assurance, EEO/AA. Schedules nonemergency leave in advance to avoid adverse impact to work unit effectiveness.

**FOR POSITIONS WITH SUPERVISORY DUTIES:**

**SUPERVISION/LEADERSHIP.** Sets and communicates unit goals that reflect organizational goals. Implements/complies with appropriate DA emphasis programs. Sets standard/leads by example. Takes timely/appropriate personnel actions. Recruits/retains quality force. Motivates, challenges and develops subordinates, through counseling on expectations, performance, and career goals; evaluates timely. Resolves conflict and maintains order.

**EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION (EEO/AA).** Applies EEO principles to all aspects of personnel management (e.g., hiring, training, work assignments/schedules, discipline, counseling and awards). As appropriate, takes immediate corrective action if sexual harassment or other discriminatory/unfair treatment is observed, reported or suspected. Provides leadership and emphasis to the execution of the Affirmative Employment Plan. Participates in EEO/AA activities and encourages subordinates to do so.

**COUNSELING RECORD/INDIVIDUAL PERFORMANCE STANDARDS**

DATE OF COUNSELING	RATEE/RATER/ INT. RATER/ SENIOR RATER INITIALS	KEY POINTS MADE
INITIAL		
LATER <i>(Optional)</i>		
MIDPOINT		
LATER <i>(Optional)</i>		

# TAPES RATINGS FORMULAS

## SENIOR SYSTEM (GS-09 and Above)

RATING LEVEL	OVERALL RATING
	<b>Non-Supervisory</b>
LEVEL 1	Rated EXCELLENCE in 75% or more of the Objectives and SUCCESS in the remaining nonsupervisory Objectives.
LEVEL 2	Rated EXCELLENCE 25-74% of rated Objectives and SUCCESS in the remaining non-supervisory Objectives
LEVEL 3	All SUCCESSFUL ratings on Performance Objectives or EXCELLENT in 1-24% and SUCCESS in the remaining Performance Objectives.
FAIR	Rated NEEDS IMPROVEMENT in 1 or more Objective(s) and are NOT RATED FAILS IN ANY Performance Objectives.
UNSUCCESSFUL	Rated FAILS in 1 or more Objective(s), regardless of ratings assigned other Performance Objectives.
	<b>Supervisory</b>
LEVEL 1	Rated EXCELLENCE in 75% or more of ALL Objectives, which must include EXCELLENCE ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s), and SUCCESS in the others.
LEVEL 2	Rated EXCELLENCE in 25-74% of ALL Objectives, which must include EXCELLENCE ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s) and at least SUCCESS in others.
LEVEL 3	Rated EXCELLENCE in any number of Objectives but SUCCESS in those Objectives for both Organizational Management and Leadership and EEO/AA.
FAIR	Rated NEEDS IMPROVEMENT in 1 or more Objective(s) and are NOT RATED FAILS IN ANY Performance Objectives.
UNSUCCESSFUL	Rated FAILS in 1 or more Objective(s), regardless of ratings assigned other Performance Objectives.

**BASE SYSTEM (GS-01-GS-08)**

<b>RATING LEVEL</b>	<b>OVERALL RATING</b>
	<b>Non-Supervisory</b>
LEVEL 1	Rated EXCELLENCE in 3 or more of the nonsupervisory Responsibilities and SUCCESS in the remaining nonsupervisory Responsibilities.
LEVEL 2	EXCELLENCE in two (2) or one (1) of the nonsupervisory Responsibilities and SUCCESS in the remaining Responsibilities.
LEVEL 3	SUCCESS in ALL rated Responsibilities.
FAIR	NEEDS IMPROVEMENT in 1 or more Responsibilities and NOT Rated FAILS in any.
UNSUCCESSFUL	FAILS in 1 or more Responsibilities, regardless of ratings assigned to remaining Responsibilities.
	<b>Supervisory</b>
LEVEL 1	Rated EXCELLENCE in 4 or more Responsibilities, at least one of which must be either Supervision/Leadership or EEO/AA, and SUCCESS ratings in the remainder.
LEVEL 2	Rated EXCELLENCE in either two or three Responsibilities, one must be either Supervision/Leadership or EEO/AA, and SUCCESS in the remainder.
LEVEL 3	Ratee with supervisory duties is rated EXCELLENCE in one or more nonsupervisory responsibilities but SUCCESS in both Supervision/Leadership and EEO/AA or who is rated SUCCESS in all nonsupervisory responsibilities and EXCELLENCE in either
FAIR	NEEDS IMPROVEMENT in 1 or more Responsibilities and NOT Rated FAILS in any.
UNSUCCESSFUL	FAILS in 1 or more Responsibilities, regardless of ratings assigned to remaining Responsibilities.