



## ***MANAGING EMPLOYEE PERFORMANCE UNDER THE TOTAL ARMY PERFORMANCE EVALUATION SYSTEM (TAPES)***

***A GUIDE FOR EMPLOYEES AND SUPERVISORS***

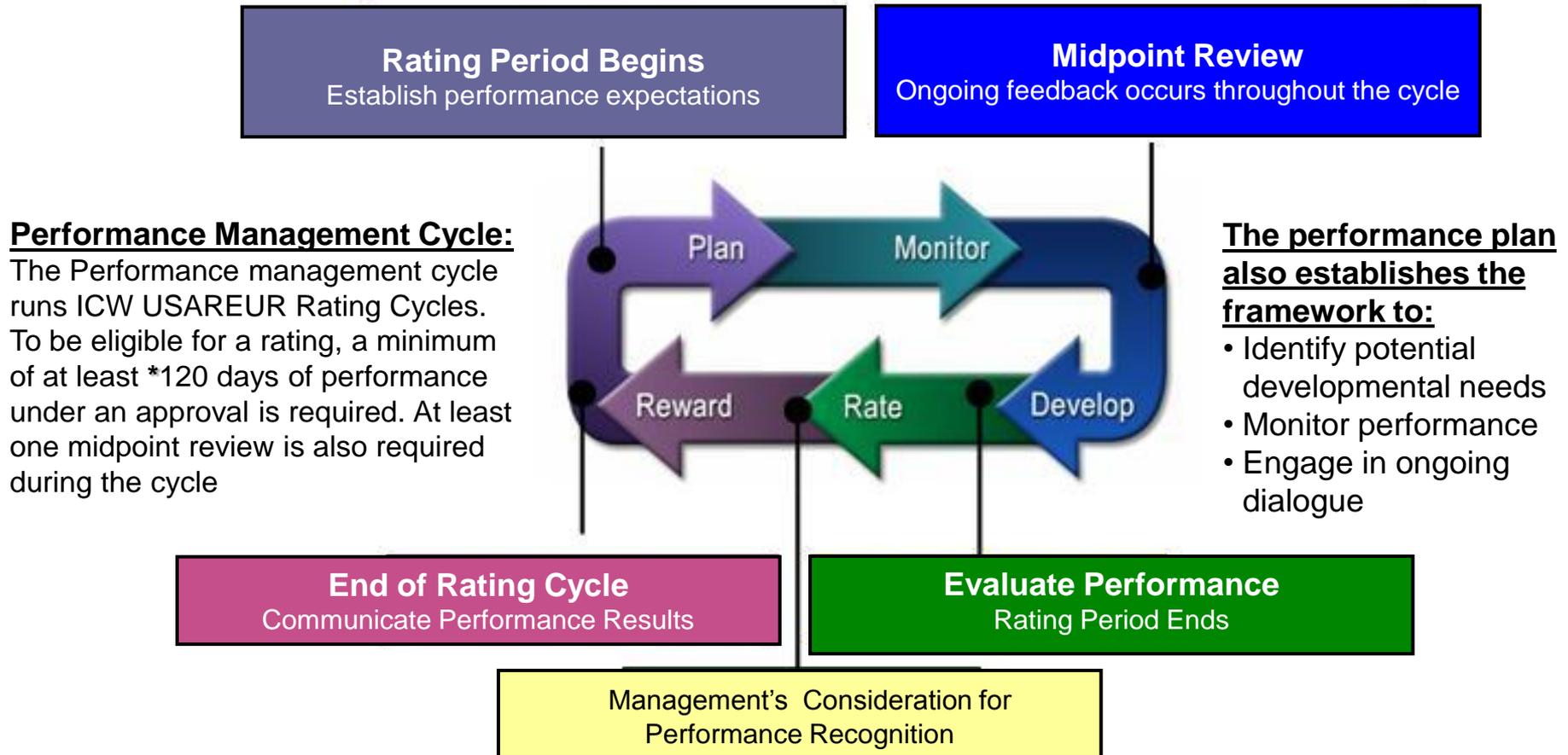


## Objectives

**TAPES is designed to improve the 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 employee (ratee) and the rating chain (supervisor and intermediate/senior rater) about performance, expectations, professional development, and DA values and ethics**
- ❖ **Providing an environment that values all members of the Army team – recognizing excellent performance, assisting in areas of improvement, encouraging additional responsibility and supporting team endeavors, and performance at full potential**
- ❖ **Requiring annual written performance evaluations to provide supervisors with a tool for:**
  - **Systemic assessment of performance to make decisions on compensation, training, reassignments, promotions, reduction in force/grade, retention and removal**
  - **Effective superior-subordinate partnership in pursuit of common goals**

## Performance Cycle



\* The minimum 120-days requirement doesn't apply to FMs appointed under the Executive Order 12721



## Two Performance Systems

**ARMY REGULATION 690-400 CHAPTER 4302, 16 August 1998**

➤ **SENIOR SYSTEM -**

**Governs GM, GS/WS-9 and above, equivalent levels in other pay plans, and career Interns**

➤ **BASE SYSTEM –**

**Includes WG, WL, WS/GS-08 and below, equivalent levels in other pay plans**



# US Army Garrison Schweinfurt



## Rating Cycles for Army in Europe

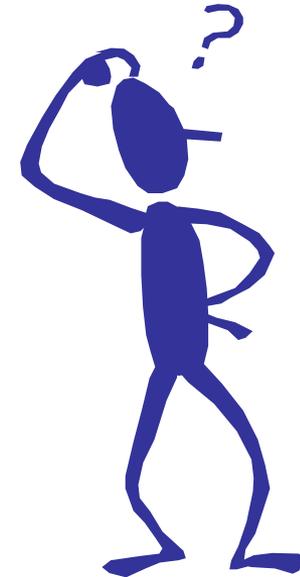
TAPES SYSTEM & GRADE LEVEL	RATING CYCLE BEGINS	COUNSELING CHECKLIST/SUPPORT FORM MUST BE IN PLACE BY	FACE-TO-FACE MANDATORY MIDPOINT REVIEW NO LATER THAN	120 DAYS PRIOR TO END OF RATING CYCLE	RATING CYCLE ENDS	COMPLETED EVALUATIONS MUST BE IN CPOC BY CLOSE OF BUSINESS
SENIOR SYSTEM (Army-wide) GS/GM/WS 13/14/15/SES	1 July	31 July	1 January	3 March	30 June	14 August
SENIOR SYSTEM (Army-wide) GS/WS 9 thru 12	1 November	1 December	1 May	4 July	31 October	15 December
BASE SYSTEM (USAREUR ONLY) GS 6-8, WS 6 thru 8 and equivalent WG 6 & above All WL	1 February	2 March	1 August	3 October	31 January	17 March
BASE SYSTEM (USAREUR only) All GS/WS/WG 1 thru 5 and equivalent	1 May	31 May	1 November	1 January	30 April	15 June

**NOTES:**

1. Rating periods are normally one year, but must cover at least 120 calendar days except for family members who qualify for the Executive Order 12721 {See 5 CFR 315.608; AR 690-400, Ch 4302, Appendix A, para b(6)}.
2. Specific questions concerning non-standard rating cycles should be directed to the servicing Civilian Personnel Advisory Center.
3. USAREUR SES appraisals are processed through CPD to DA for the annual Performance Review Board (PRB), rather than submitting to the CPOC. Suspend dates and the PRB convening date vary and are set annually by DA.

## The Process

- ❏ **Conduct Initial counseling**
- ❏ **Prepare checklist/support form**
- ❏ **Conduct mid-point counseling**
- ❏ **Prepare civilian evaluation report**
- ❏ **Conduct annual performance counseling and present evaluation to employee**
- ❏ **Forward documentation to CPAC**



## Initial Counseling

- ❑ Explain the rating chain
- ❑ Discuss the position description
- ❑ Discuss areas of special emphasis
- ❑ Discuss each value and objective/responsibility
- ❑ Review any written input from employee
- ❑ Discuss and clarify performance expectations
- ❑ Discuss different views until you both are clear on requirements
- ❑ Provide examples of excellence
- ❑ Discuss employee's career goals and training needs
- ❑ Employee and supervisor must prepare an Individual Development Plan (IDP)





## After the Counseling

- ❖ **Summarize key points**
- ❖ **Give employee the support/checklist form**
- ❖ **Forward forms to the senior rater for approval (initial and date)**
- ❖ **Issue copy to employee and retain original form**



## Midpoint Counseling

- ❑ Discuss job requirements, areas of special emphasis and changed or new priorities
- ❑ Provide constructive feedback
- ❑ Address specific examples of observed actions/results
- ❑ Reemphasize examples of excellence
- ❑ Discuss employee's career goals and the effectiveness of completed training



## Performance Evaluation - Rater

- ⇒ **Senior System: Request input from employee** (DA 7222-1, Part IVc)
- ⇒ **Assign responsibility/objective rating**
- ⇒ **Calculate overall performance evaluation**
- ⇒ **Complete values section** (DA 7222, Part V)
- ⇒ **Attach checklist/support form, sign and date evaluation**
- ⇒ **Forward to senior rater**
- ⇒ **Present to employee after senior rater completes and returns**



## Performance Evaluation – Senior Rater

- Review evaluation
- Concur or non-concur with rater - senior rater approves rating
- Assign overall rating
- Complete performance/potential section
- Sign and date evaluation
- Return checklist/support form and evaluation to rater



## Responsibility Rating Levels

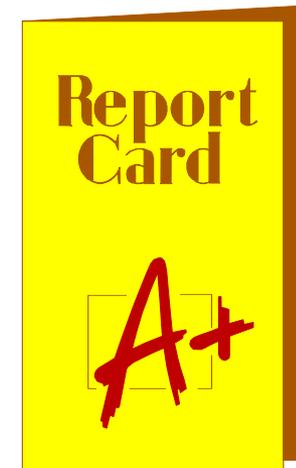
- EXCELLENCE** - Consistently exceeds level described by standards and documented expectations; frequently produces more and/or better than expected.
- SUCCESS** - Usually performs at a level described by standards and documented expectations. Quality/quantity of output or results are generally at expected levels. Strengths clearly outweigh weaknesses.
- NEEDS IMPROVEMENT**- Sometimes performs at level described by standards and documented expectations. However, fails enough so weaknesses slightly outweigh strengths.
- FAILS** - Frequently fails to perform at level described by standards and documented expectations. Rarely achieves expected results. Weaknesses clearly outweigh strengths.



## Overall Performance Rating Definitions

### SUCCESSFUL LEVEL 1

- Ratee with no supervisory duties is rated **EXCELLENCE** in 3 or more of the non-supervisory 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

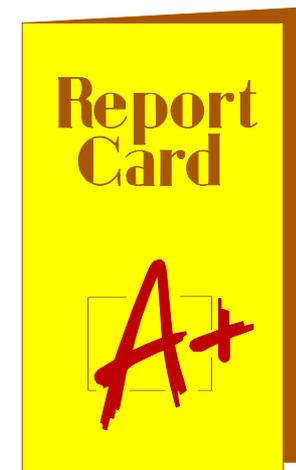




## Overall Performance Rating Definitions (cont'd)

### SUCCESSFUL LEVEL 2

- Ratee with no supervisory duties is rated **EXCELLENCE** in 1 or 2 and **SUCCESS** in other non-supervisory responsibilities
- Ratee with supervisory duties is rated **EXCELLENCE** in 2 or 3 responsibilities – one must be either **SUPERVISION/ LEADERSHIP** or **EEO/AA**; both may be – and **SUCCESS** in the remainder

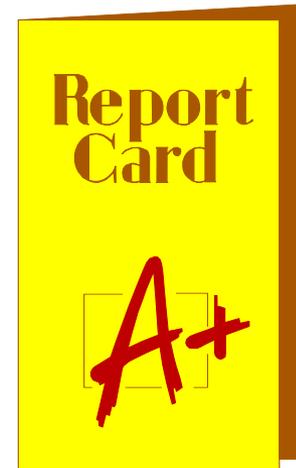




## Overall Performance Rating Definitions (cont'd)

### SUCCESSFUL LEVEL 3

- Ratee with no supervisory duties is rated **SUCCESS** in all rated responsibilities
- Ratee with supervisory duties is rated **EXCELLENCE** in 1 or more nonsupervisory Responsibilities but **SUCCESS** in both **SUPERVISION/ LEADERSHIP** or **EEO/AA** or who is rated success in all nonsupervisory Responsibilities and **EXCELLENCE** in either **SUPERVISION/LEADERSHIP** or **EEO/AA**





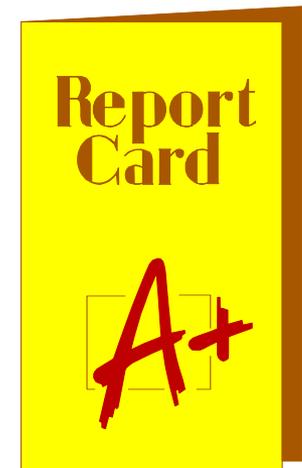
## Overall Performance Rating Definitions (cont'd)

### FAIR

- Ratee is rated **NEEDS IMPROVEMENT** in 1 or more responsibilities and not rated **FAILS** in any responsibility

### UNSUCCESSFUL

- Ratee is rated **FAILS** in 1 or more responsibilities - regardless of ratings assigned in remaining responsibilities





***TAPES***

***SENIOR***

***SYSTEM***



## TERMS – SENIOR SYSTEM

- **Objectives**
- **Objective Rating**
- **Support Form**
- **Objectives (Support Form)**
- **Org Mgmt/Leadership**



## OBJECTIVES

- **RELATE DIRECTLY TO RATEE'S ROLE AND MISSION**

May be considered obvious; but good check for validity of the objective

- **REALISTIC/ATTAINABLE YET REPRESENT A CHALLENGE**

Objectives should serve as a motivational tool - in reach but not too easy to accomplish

- **BE AS MEASURABLE AND VERIFIABLE AS POSSIBLE**

Rater and ratee should be able to evaluate to what degree objective was attained

- **USE ACTION VERBS**

Bring your writing to life - use active language!

(e.g., organize files, facilitate meetings, prepare reports, examine data, collect material, summarize findings, etc.)



## EXAMPLE OBJECTIVES

- **Write SOP containing step-by-step survey procedures to be used by XYZ division**
- **Support survey teams when conducting equipment inspections and finalize SOP to be used by teams NLT 1 February 2011**
- **Develop a detailed user guide on how to identify and report organizational equipment surplus by applying regulatory guidelines**



## OBJECTIVE RATING DEFINITIONS

- **EXCELLENCE** - Consistently exceeds level described by standards and documented expectations; frequently produces more and/or better than expected
- **SUCCESS** - Usually performs at level described by standards and documented expectations. Quality/quantity of output or results are generally at expected levels. Strengths clearly outweigh weaknesses



## OBJECTIVE RATING DEFINITIONS (Cont'd)

- **NEEDS IMPROVEMENT** - Sometimes performs at level described by standards and documented expectations. However, fails enough so weaknesses slightly outweigh strengths
- **FAILS** - Frequently fails to perform at level described by standards and documented expectations. Rarely achieves expected result. Weaknesses clearly outweigh strengths



## OVERALL PERFORMANCE RATING DEFINITIONS

### SUCCESSFUL LEVEL 1

- Ratee with no supervisory duties is rated **EXCELLENCE** in over 75% of objectives and **SUCCESS** in remaining objectives
  
- Ratee with supervisory duties is rated **EXCELLENCE** in over 75% of **ALL** objectives - which must include **EXCELLENCE** ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s) - and **SUCCESS** in others



## OVERALL PERFORMANCE RATING DEFINITIONS (Cont'd)

### SUCCESSFUL LEVEL 2

- Ratee with no supervisory duties is rated **EXCELLENCE** in 25-74% of objectives and **SUCCESS** in remaining objectives
- Ratee with supervisory duties is 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 **SUCCESS** in others



## OVERALL PERFORMANCE RATING DEFINITIONS (Cont'd)

### SUCCESSFUL LEVEL 3

- Ratee **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 for both Organizational Management/ Leadership Objective(s) or EEO/AA



## OVERALL PERFORMANCE RATING DEFINITIONS (Cont'd)

### FAIR

- Ratee **NEEDS IMPROVEMENT** in 1 or more objective(s) and not rated **FAILS** in any other objective

### UNSUCCESSFUL

- Ratee **FAILS** in 1 or more objective(s) - regardless of ratings assigned in other objectives



## SENIOR RATER PERFORMANCE & POTENTIAL

- **Part IX - Bullet comments**
- **Supportable statements**
- **May be based on personal observation or reliable information provided by rater**
- **Rate actual performance only, describe employee potential for job enlargement/enrichment**



## ***KEY TOPICS***

- **Support forms not approved until initialed and dated by senior rater**
- **No appraisal permitted without approved support form in place**
- **Minimum appraisal period is 120 calendar days (with support form in place) - except family members**



## ***KEY TOPICS***

- **Rater and senior rater evaluations must be in agreement**
- **No minimum time required before one can serve as rater or senior rater**
- **Support forms must accompany evaluation reports**
- **Originals of all forms go to employee**



## ***KEY TOPICS***

- **Evaluation reports valid only when signed/dated by senior rater in senior rater blocks**
- **Values block intended to emphasize the positive. Not used to calculate overall summary evaluation**
- **Two counseling sessions required - initial and mid-point**
- **Senior rater controls final appraisal. May direct changes to objectives and narrative evaluation**



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## ***KEY TOPICS***

- **Rating chain signs evaluation first - then employee**
- **Senior rater required to comment on performance and potential**
- **At least Level 3 rating to grant Within-Grade-Increase (WIGI)**
- **Level 4 rating must be overcome by higher rating to receive WIGI. If not, WIGI denial SF50 produced automatically**
- **Only GS employees rated Successful Level 1 are eligible for a Quality Step Increase (QSI)**
- **All employees rated Successful Level 3 or higher are eligible for consideration for a Performance Award**
- **Supervisors should grant awards based on merit and who has not been otherwise rewarded for their contributions**



## ***KEY TOPICS***

- **Change in Rater**
  - **Within 120 days - early annual rating**
  - **More than 120 days – special rating**
- **Details of 120 days or more**
  - **Checklist/support form required**
  - **Evaluation issued by permanent supervisor**
- **Temporary Promotion of 120 days or more**
  - **Checklist/support form required**
  - **Evaluation issued by temporary supervisor**
- **Special may be converted to an annual rating**