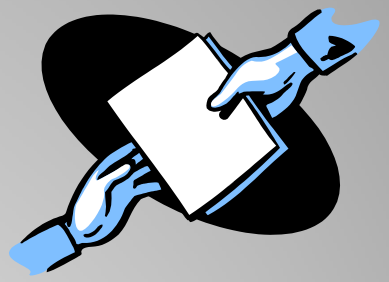
TOTAL ARMY PERFORMANCE EVALUATION SYSTEM (TAPES)

"THE TRANSITION: FROM NSPS BACK TO TAPES"

PERFORMANCE MANAGEMENT



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.

PERFORMANCE MANAGEMENT

Learning Objectives:

*Understand the basic principles of Performance Management under TAPES

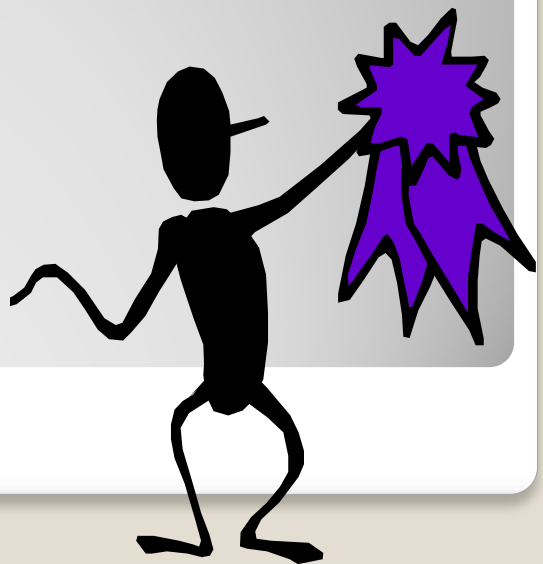
*The ability to apply the rules and regulations to appropriately rate/evaluate employees

TAPES (AR 690-400)
Incentive Awards (AR 672-20)

NSPS → TAPES

What's Similar?

- objectives that are mission aligned
- open and continuous communication
- performance accountability
- recognition and rewards



SYSTEM OVERVIEW

- SENIOR SYSTEM
- BASE SYSTEM
- RATING CYCLE/PERIOD
- RATING CHAIN

Commanders (and equivalent leaders) Responsibilities

- Ensure fair and consistent application
- Develop and communicate organizational goals and priorities
- Discuss and exhibit DA values
- Ensure that Ratees are informed of the individuals in their rating chains
- Ensure that Military and Civilian raters receive TAPES training
- Ensure timely preparation of written performance plans/appraisals
- Monitor the performance management program

Management's Responsibility

- To define and communicate performance/job requirements
- To provide counseling and coaching
- To providing job related training (if feasible)
- To exhibit DA values, assuring they are visible

Management's Responsibility (Cont…)

- To provide corrective and formative feedback
- To evaluate work products
- To discipline (when necessary)
- To set AND maintain the tone/pace

Employee's Responsibility

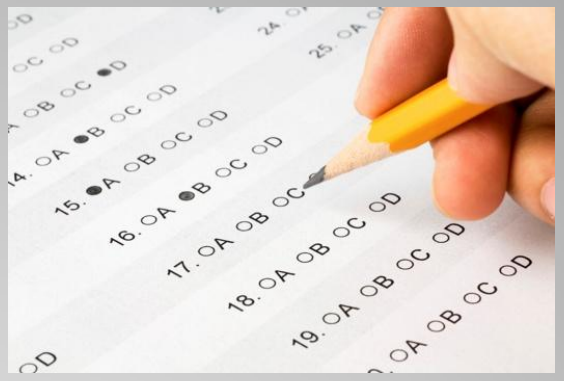
- To learn what is expected and perform the duties of their position
- To discuss ideas about work, army values, and professional development goals
- To perform to the level required of their position

Employee's Responsibility Cont…

- To take an active role in developing their performance plan
- To inform their supervisor when they have questions/needs, problems or process improvements
- To provide their supervisor with timely feedback on accomplishments

THE SENIOR SYSTEM

Senior System Rating Cycle



- GS/WS- 13's and above 1 Jul-30 Jun
- GS/WS- 9 thru 12 1 Nov-31 Oct

120 Day Rule!!

Performance Objectives

S.M.A.R.T is still smart!

SPECIFIC

MEASURABLE

ALIGNED

RELEVANT

TIMED

Performance Objectives Cont…

Specific- clear and understandable terms

Measurable- quantitative, results oriented

Aligned- mission-linked; descriptive in scope, nature, complexity and purpose

Relevant- directly connected to essential functions of the job; challenging yet realistic

Timed- assigning milestones

TYPES OF OBJECTIVES

Routine
addresses repetitive commonplace duties

Innovative
creates new/improved methods

Problem Solving
deals with difficult situations

Personal Development
furthers professional growth

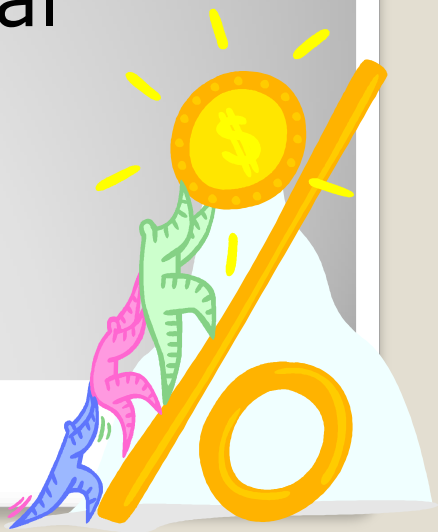
DA Performance Standards

- Technical Competence
- Innovation/Initiative
- Responsibility/Accountability
- Working Relations
- Communication
- Supervisors/Managers: Organizational Management/Leadership and EEO/AA **

****Required for managers/supervisors****

DA Form 7222-1

- Employee must have a valid support form within 30 days of beginning of rating period
- Employee submits objectives to supervisor for discussion
- All objectives are considered critical
- Working document
- Senior rater has final approval



Initial Performance Counseling

- Within 30 days of the rating period
- Supervisor explains…

  -Employee’s role in mission
  -Expectations
  -Career goals
  -DA values
  -Training needs

Initial Performance Counseling (Cont…)

- Employee and supervisor discuss and agree to performance objectives
- If disagreement, supervisor decides
- Support form be supplemented with additional sheets of paper
- Documents discussion (Part III)
  - -Employee and supervisor initial/date

Objective/Responsibility Ratings

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.**

Objective/Responsibility Ratings (Cont…)

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.**

Midpoint Counseling

- **Mandatory discussion must occur in the middle of the rating cycle**

DISCUSSION

- **Objectives and accomplishments**
- **Training completed or to be scheduled**
- **DA Values**
- **Identifies deficiencies and discusses remedies**

Midpoint Counseling (Cont…)

Mandatory discussion that must occur in the middle of the rating cycle

Discuss…

- Objectives and accomplishments
- Training completed or to be scheduled
- DA Values
- Identifies deficiencies and discusses remedies

Supervisor makes notes on support form

- Add/change objectives
- Annotate accomplishments

Employee and Supervisor date/initial

End of Rating Cycle

- **Employee should provide timely feedback**
- **If employee fails to provide feedback, the rating chain will complete the evaluation without it**

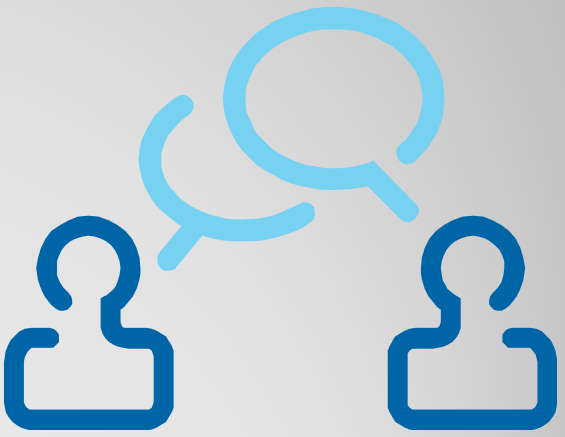
Bullets are <u>required</u> for…

- **Objectives rated EXCELLENCE**
- **Objectives rated below SUCCESS**

Bullets are <u>encouraged</u> for…

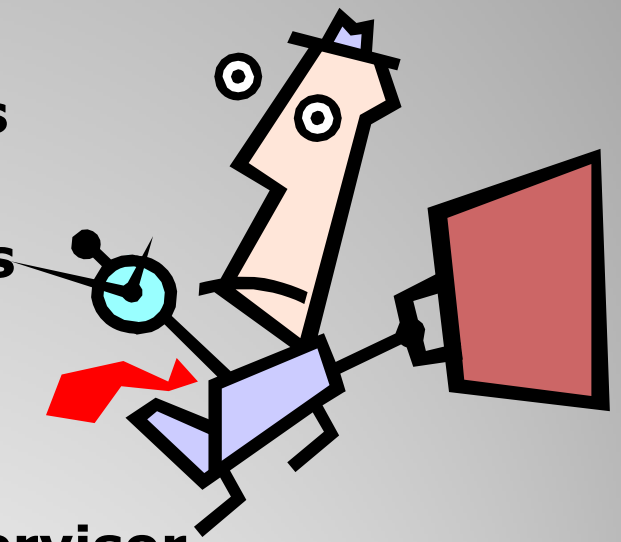
- **Objectives rated SUCCESS**

No more than 2 Lines per bullet



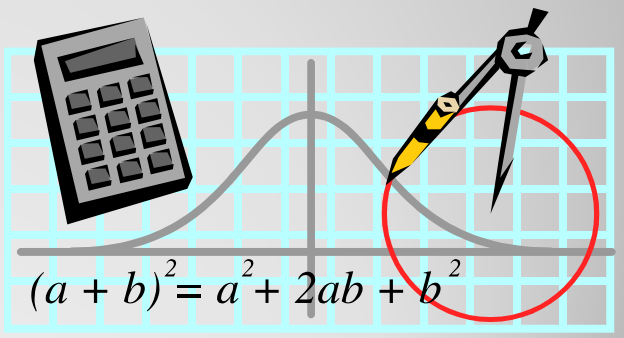
Senior Rater

- **Reviews rated objectives/bullets**
- **Reviews significant contributions**
- **If concurs, assigns overall rating**
- **If disagrees, discusses with supervisor**
- **Provides bullet examples**
- **Senior rater has *final* say**



Overall Rating Formulas

Overall Performance Ratings are derived from formulas that establish how Objectives and Responsibilities rating determine the Overall Performance Rating.



Senior System (Overall Rating)

Level 1, Non-Supervisory

- **rated EXCELLENCE in 75% or more of the Objectives and SUCCESS in the remaining Objectives**

Level 1, Supervisory

- **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 5 in 5 CFR, Part 430)

Senior System (Overall Rating)

Level 2, Non-Supervisory

- **rated EXCELLENCE in 25-74% of rated Objectives and SUCCESS in the remaining Objectives**

Level 2, Supervisory

- **rated EXCELLENCE in 25-74% of ALL Objectives which include EXCELLENCE ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s) and at least SUCCESS in the others**

(LEVEL 4 in 5 CFR, Part 430)

Senior System (Overall Rating)

Level 3, Non-Supervisory

- **rated SUCCESS in all rated Objectives or EXCELLENCE in 1-24% and SUCCESS in remaining Objectives**

Level 3, Supervisory

- **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, Part 430)

Senior System (Overall Rating)

Fair

- **rated NEEDS IMPROVEMENT in 1 or more Objective(s) and NOT RATED FAILS IN ANY**

(LEVEL 2 in 5 CFR, Part 430)

Senior System (Overall Rating)

Unsuccessful

- **Rated FAILS in 1 or more Objective(s) regardless of ratings assigned to other Objectives**

(LEVEL 1 in 5 CFR, Part 430)

Final Counseling

- Supervisor discusses rating with employee
- Employee is the last to sign rating
- Original is issued to employee
- Copy sent to CPAC w/support form
- Ensure timely performance awards are submitted

General Information

- **Performance discussion within 30 days:**
  - **-Start of the rating cycle**
  - **-New employee**
  - **-Change in position**
  - **-New supervisor**
- **Must have valid plan signed by senior rater**
- **Must perform under a plan for 120 days before employee can be rated**

THE BASE SYSTEM

Base System

Rating Cycle

- GS/WG or WL-6 thru 8 1 Nov–31Oct
- GS/WG or WL-1 thru 5 1 Nov-31 Oct

DA Form 7223-1

Initial face-to-face counseling

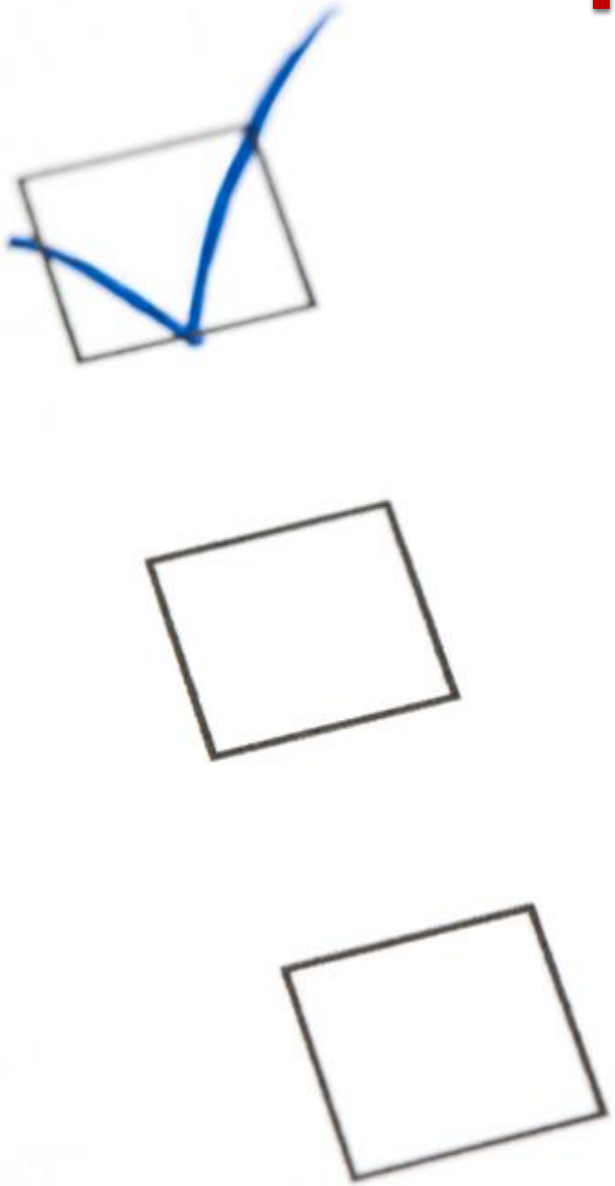
- Within first 30 days
- Supervisor/employee discussion
- DA Values
- Key Points
- Senior rater reviews checklist

(Cont…)

Midpoint Counseling

- Mandatory
- Supervisor/employee discussion
- Key Points
- Supervisor/employee initial/date
- If significant changes occur, senior rater reviews

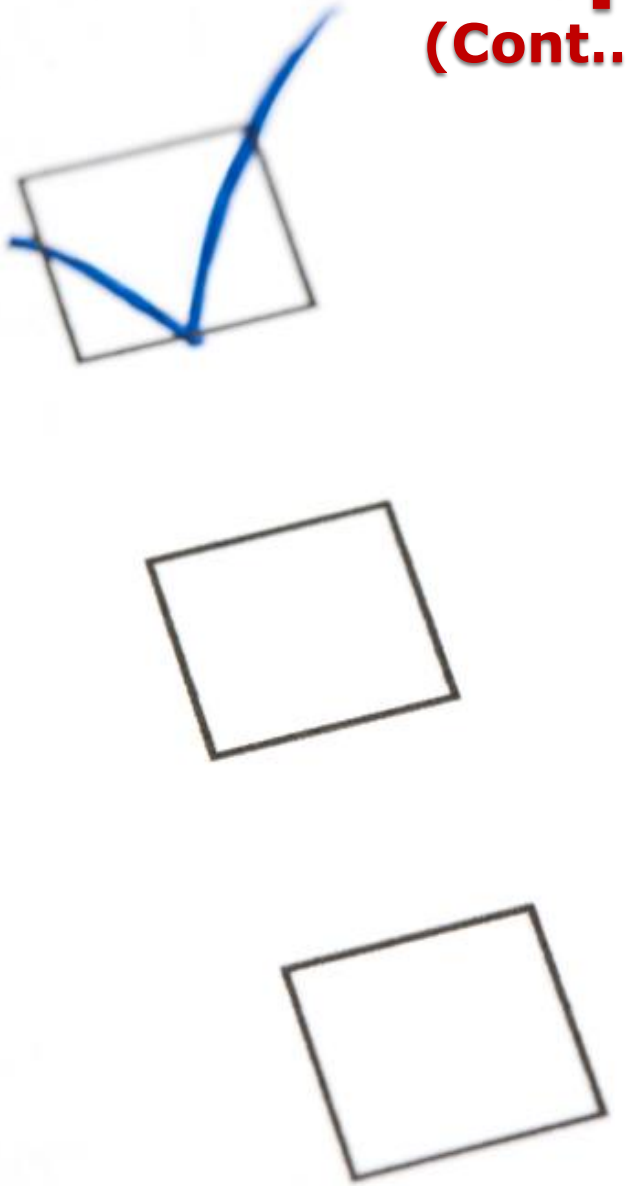
Evaluation Report DA Form 7223



- DA Values

- Rating responsibilities
  - -Excellence
  - -Success
  - -Needs improvement
  - -Fails

Evaluation Report DA Form 7223 (Cont…)



Bullet Examples

- Supervisor writes
- <u>Required</u> bullets for EXCELLENCE and below SUCCESS
- Bullets <u>encouraged</u> for SUCCESS

Base System (Overall Rating)

Level 1, Non-Supervisory

- **rated EXCELLENCE in 3 or more Responsibilities and SUCCESS in the remaining Responsibilities**

Level 1, Supervisory

- **rated EXCELLENCE in 4 or more Responsibilities with at least 1 that must be either supervision/leadership or EEO/AA and SUCCESS in the remainder**

(LEVEL 5 in 5 CFR, Part 430)

Base System (Overall Rating)

Level 2, Non-Supervisory

- **rated EXCELLENCE in either 2 or 1 Responsibilities and SUCCESS in the remaining Responsibility**

Level 2, Supervisory

- **rated EXCELLENCE in either 2 or 3 Responsibilities with at least 1 that must be either supervision/leadership or EEO/AA and SUCCESS in the remainder**

(LEVEL 4 in 5 CFR, Part 430)

Base System (Overall Rating)

Level 3, Non-Supervisory

- **rated SUCCESS in all rated Responsibilities**

Level 3, Supervisory

- **rated EXCELLENCE in 1 or more Responsibilities but SUCCESS in both supervision/leadership and EEO/AA OR rated SUCCESS in all Responsibilities and EXCELLENCE in either supervision/leadership or EEO/AA**

(LEVEL 3 in 5 CFR, Part 430)

Base System (Overall Rating)

Fair

- **rated NEEDS IMPROVEMENT in 1 or more Responsibilities and NOT RATED FAILS IN ANY**

(LEVEL 2 in 5 CFR, Part 430)

Base System (Overall Rating)

Unsuccessful

- **Rated FAILS in 1 or more Responsibilities regardless or ratings assigned remaining Responsibilities**

(LEVEL 1 in 5 CFR, Part 430)

Final Performance Counseling

- **Supervisor/employee discussion**
- **Employee signs/dates**
  - **-Signature does not mean agreement**

Within Grade Increases (WGI)

- **Federal Wage System (FWS) employees advance automatically with a current rating of record of at least successful (Level 3) so long as they satisfy the appropriate waiting period**

- **General Schedule (GS) employees must also be rated at least successful (Level 3) to receive a WGI and must also satisfy the appropriate waiting period**

Cash Awards for Performance

PART III (on both DA Form 7222 and 7223)

- **All employees rated at Successful Level 3 or higher are eligible for consideration for Performance Awards. Supervisors should grant such awards to those who deserving based on merit and who have not been otherwise rewarded for their contributions**

- **Only GS employee rated Successful Level 1 are eligible for Quality Step Increases (QSI), which are one-step increases to base pay.**

Needs Improvement

COUNSEL EARLY AND FREQUENTLY

DOCUMENT/CLARIFY

KEEP WORK PRODUCTS

COACH TOWARD SUCCESS

Needs Improvement (Cont…)

- **At any time during the rating cycle that the employee is determined to "need improvement" in 1 or more Objectives/Responsibilities, they should be provided closer supervision assistance/guidance/training**
- **If performance has dropped below level 3, notify CPAC 90 days prior to WGI due date**
- **Formal letter to employee explaining reasons for WGI denial**
- **Appeal rights to MSPB**

****IMPORTANT****

Documentation and counseling is ***ESSENTIAL*** in supporting the WGI denial

Fail

LEVEL 5

- **Same counseling process for "needs improvement"**
- **Formal letter issued addressing deficiencies and expectations**
- **120-day opportunity to improve**
- **More direct guidance provided**
- **Documentation gathered during PIP**

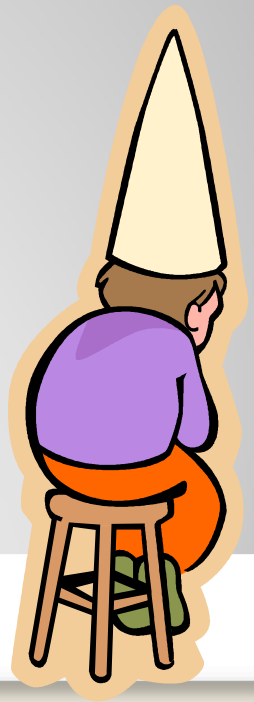
Performance Improvement Period (PIP)

Consequence for poor performance

- **Change to a lower grade**
- **Reassignment**
- **Removal**

Keep in mind

- **MSPS appeal rights**
- **Grievance procedure(s)**
- **EEO rights**



QUESTIONS