



DEPARTMENT OF THE ARMY  
UNITED STATES ARMY INSTALLATION MANAGEMENT COMMAND  
EUROPE REGION  
UNIT 29353, BOX 200  
APO AE 09014-0200

IMEU-HRC

FEB 06 2011

MEMORANDUM FOR USAGs, HNLFOA, and Region Staff Offices

SUBJECT: IMCOM-Europe Total Army Personnel Evaluation System (TAPES) Guidance

This memorandum expires in 1 year.

1. References:

- a. AR 672-20, Incentive Awards.
- b. AR 690-400, Chapter 4302, Total Army Performance Evaluation System.
- c. IMCOM Regulation 672-10, Incentive Awards Program for Military and Civilian Personnel.
- d. IMCOM Operations Order 10-126, annex I, appendix 2, TAPES Performance Feedback & Evaluation Guide (encl 1).

2. In August 2010, most IMCOM-Europe employees under the National Security Personnel System (NSPS) converted to the General Schedule (GS) system. This conversion included the requirement for employees to establish performance plans under the Total Army Personnel Evaluation System (TAPES) within 30 days after the conversion.

3. The performance rating cycle end dates under TAPES are as follows:

- a. For GS-01 through GS-05 (and equivalents): 30 April.
- b. For GS-06 through GS-08 (and equivalents): 31 January.
- c. For GS-09 through GS-12 (and equivalents): 31 October.
- d. For GS-13 through GS-15 (and equivalents): 30 June.

4. The rating-cycle start date will be the date the employee converted or, if the employee was already under the GS system, the entry-on-duty date or the date the employee began a new position. Because 2010 was a transition year, most rating periods in the theater will not be 1 year long; they may be longer or shorter than a year. Employees must be under an approved performance plan for 120 days to receive a performance rating.

5. GS employees, supervisors, and personnel who are raters, intermediate raters, and senior raters should read AR 690-400 and the OPORD appendix (encl 1) if they have not already done so. Raters and senior raters must understand the key terms and performance-rating levels before they begin rating employees. Employees and rating officials should review the TAPES training provided by the United States Army Civilian Human Resources Agency, Europe Region, at [https://cpolrhp.cpol.army.mil/eur/management/employee\\_performance/tapes.ppt](https://cpolrhp.cpol.army.mil/eur/management/employee_performance/tapes.ppt).

*This memorandum is available at <https://aepubs.army.mil>.*

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6. Employees who are rated at successful levels 1 or 2 will be eligible for a performance award. The award may not exceed 10 percent of the employee's base pay. The approval authority for performance awards must be at least one level above the nominating official unless the nominating official is a garrison commander or garrison manager. Minimum approval authorities will be as follows:

- a. Region staff: Chief of Staff, IMCOM-Europe.
- b. Host Nation Liaison Field Operating Activity (HNLFOA): Chief of Staff, IMCOM-Europe.
- c. United States Army garrisons (USAGs): Garrison commander or garrison manager.

7. Employees with exceptional ratings of record (level 1) will be eligible for a quality step increase (QSI) as long as the employee has not received one in the previous 52 weeks. Organizations must have funding approval before processing QSIs, and every QSI nomination should be reviewed to ensure the proposed recipient has not been compensated with other monetary awards for the same accomplishment or contributions. QSI approval authorities will be the same as those for performance awards (para 6).

8. Enclosure 2 provides instructions for forwarding appraisals and performance awards or QSIs.

9. The POC is Mr. Cox, DSN 370-9052 or e-mail: [marc.cox@eur.army.mil](mailto:marc.cox@eur.army.mil).



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Director

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**APPENDIX 2 (TAPES Performance Feedback & Evaluation Guide) ANNEX I (Key Performance Management Requirements for TAPES) to OPERATIONS ORDER 10-126: Conversion of National Security Personnel System (NSPS) Employees to General Schedule (GS) (U)**

- A. Performance management is not a once-, twice-, or three-times per year administrative function; it is a continuous process that occurs throughout the rating period with a few key milestones
  - 1. Performance planning meeting at start of rating period
  - 2. Performance-related discussion at midpoint of rating period
  - 3. Performance appraisal meetings after the end of rating period
- B. Between these milestones, Raters and Ratees should have ongoing, informal performance-related discussions. During these discussions, they should use the formal performance plan documents (i.e., DA 7222-1 and DA 7223-1) and supplementary pages to document accomplishments, challenges, and emerging developmental needs.
- C. Continuous performance feedback is critical to laying the foundation for an effective performance appraisal, which should have no major surprises for the Ratees and represent a formalization of performance feedback discussions that Ratees have had with the Raters, Intermediate and/or Senior Raters.
- D. Near the end of the rating period, Ratees should use the most recent version of the performance plan to insert significant accomplishments and achievement of developmental goals; these inputs are critical for ensuring that Raters have a complete picture of the Ratees performance throughout the rating period.
- E. Ratees must be on performance plans for 120 days from the approval date in order to be eligible for a performance rating.
- F. Prior to evaluating the performance during the rating period, all rating officials should review the performance rating definitions and criteria. The assignment of a rating level should demonstrate a clear and observable link between the definitions of the rating and the Ratees' contributions.

Key Terms

- 1. **EXCELLENCE** - Consistently exceeds level described by standards and documented expectations; frequently produces more and/or better than expected.
- 2. **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.
- 3. **NEEDS IMPROVEMENT**: Sometimes performs at level described by standards and documented expectations. However, fails enough so that weaknesses slightly outweigh strengths.

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4. **FAILS:** Frequently fails to perform at levels described by standards and documented expectations. Rarely achieves expected results. Weaknesses outweigh strengths.

Performance Rating Levels - Senior System Employees (GS 9-15) / DA 7222 Form

1. **SUCCESSFUL LEVEL 1** - Ratee with no supervisory duties is rated EXCELLENCE in over 50% of Objectives and SUCCESS in remaining Objectives. Ratee with supervisory duties also must be rated EXCELLENCE on over 50% of ALL Objectives – which must include EXCELLENCE ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s) – and SUCCESS in others. (This is Level 5 in 5 CFR 430.)
2. **SUCCESSFUL LEVEL 2** - Ratee with no supervisory duties is rated EXCELLENCE in 25-50% of rated Objectives and SUCCESS in remaining Objectives. Ratee with supervisory duties also must be rated EXCELLENCE in 25-50% of ALL Objectives – which MUST include EXCELLENCE ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s) or SUCCESS in others. (This is Level 4 in 5 CFR 430.)
3. **SUCCESSFUL 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 for both Organizational Management/Leadership and EEO/AA. (This is Level 3 in 5 CFR 430.)
4. **FAIR** - All Ratees who are rated NEEDS IMPROVEMENT in 1 or more Objective(s) and not rated FAILS in any Objective. (This is Level 2 defined in 5 CFR 430.)
5. **UNSUCCESSFUL** - All Ratees rated FAILS in 1 or more Objective(s) – regardless of ratings assigned other Objectives. (This is level 1 defined in 5 CFR 430.)

Performance Rating Levels - Base System Employees (GS 1-8) / DA 7223 Form

1. **SUCCESSFUL LEVEL 1** - Ratee with no supervisory duties is rated EXCELLENCE in over 50% of Responsibilities and SUCCESS in remaining responsibilities. Ratee with supervisory duties also must be rated EXCELLENCE on over 50% of ALL Responsibilities – which must include EXCELLENCE ratings for either Organizational Management/Leadership or EEO/AA – and SUCCESS in others. (This is Level 5 in 5 CFR 430.)
2. **SUCCESSFUL LEVEL 2** - Ratee with no supervisory duties is rated EXCELLENCE in 25-50% of rated Responsibilities and SUCCESS in remaining Responsibilities. Ratee with supervisory duties also must be rated EXCELLENCE in 25-50% of ALL Responsibilities – which MUST include EXCELLENCE ratings for either Organizational Management/Leadership or EEO/AA and SUCCESS in others. (This is Level 4 in 5 CFR 430.)

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3. **SUCCESSFUL LEVEL 3** - All Ratees who rated SUCCESS in ALL rated Responsibilities. Ratees with supervisory duties who were rated EXCELLENCE in any number of Objectives but SUCCESS in those for both Organizational Management/Leadership and EEO/AA. (This is Level 3 in 5 CFR 430.)
  4. **FAIR** - All Ratees who are rated NEEDS IMPROVEMENT in 1 or more Responsibility and not rated FAILS in any Responsibility. (This is Level 2 defined in 5 CFR 430.)
  5. **UNSUCCESSFUL** - All Ratees rated FAILS in 1 or more Responsibility – regardless of ratings assigned other Responsibilities. (This is level 1 defined in 5 CFR 430.)
- G. All rating officials should understand that completing performance evaluations is not just meeting an Army regulatory/administrative requirement but also a leadership responsibility in which they have an opportunity to reinforce Army and IMCOM values and ensure that Ratees are performing in a way that is consistent with organizational missions and priorities. As rating officials provide their inputs into the Ratees' appraisal, they should consider
1. The narrative should justify the assignment of the rating; rating officials should assign ratings based on actual performance not potential performance; issues relating to performance potential are more appropriate for the individual development plans.
  2. The Values Section is the place to recognize Ratee contributions that go above and beyond required duties; Raters are encouraged to use this section to identify their "top-block" performers – the employees who are doing more than just a very good job but are actually helping the Command advance its mission.
  3. There is no minimum period of time before one may serve as a Rater or Senior Rater on an Evaluation Report. Raters and Senior Raters who have supervised the Ratees for only a short period of time are strongly encouraged to consult with the former supervisors to ensure a fair, accurate, and complete assessment of performance.
  4. For Level 5 employees, Raters must initiate performance improvement plans and should seek counsel from senior leadership and representatives from the Offices of the Staff Judge Advocate Office and Equal Employment Opportunity, and the servicing Civilian Personnel Advisory Center. It is critical that Performance Improvement Plans be based on specific and observable performance deficiencies that have been identified in prior performance-related discussions.

## PROCEDURES FOR PROCESSING COMPLETED TAPES EVALUATIONS, PERFORMANCE-BASED AWARDS, AND QSIs

### 1. PERFORMANCE APPRAISAL

The objectives of the Total Army Personnel Evaluation System (TAPES) are as follows:

- a. Communicate organizational goals and priorities as well as Army values and ethics to employees.
- b. Establish individual expectations for performance that are in keeping with organizational goals and priorities.
- c. Facilitate frequent discussion between the employee and the rating chain about performance, expectations, professional development, and DA values and ethics.
- d. Provide 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. Require annual written individual performance evaluations that provide supervisors the 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.

### 2. APPRAISAL RESPONSIBILITIES

#### a. Supervisors. Supervisors will—

- (1) Use the appropriate checklist at [https://cpolrhp.cpol.army.mil/eur/management/employee\\_performance/index.htm](https://cpolrhp.cpol.army.mil/eur/management/employee_performance/index.htm) to ensure that performance appraisals are properly prepared.
- (2) Present performance plans to new employees for review and signature within 30 calendar days after the employee reports to the new position. The performance plan consists of responsibilities for the base system (GS-01 through GS-08 and equivalent) and objectives for the senior system (GS-09 through GS-15 and equivalent).
  - (a) The responsibilities and objectives (a) are also known as standards. The standards are the measure used to determine how well the employee performed each responsibility or objective.

(b) The supervisor will recertify the plan or establish a new plan within 30 days after the beginning of each new rating period.

(c) An employee must have the opportunity to work under an approved performance plan for 120 days before receiving a rating. The first rating cycle may be more or less than 1 year to bring the employee into the appropriate cycle. An early annual appraisal should be prepared for an employee if either the employee or the supervisor departs with 120 days or less left in the rating period.

(3) Prepare a special rating if the employee is reassigned to another position or the supervisor leaves with more than 120 days left in the rating cycle. A performance plan and special appraisal will also be prepared if the employee is detailed to another position for 120 days or more. The United States Army Civilian Human Resources Agency, Europe Region (CHRA-E), website ((1) above) provides specific information about the 120-day rating requirement.

(4) Conduct a midpoint progress review with the employee to discuss the employee's performance. This review is held at the midpoint of the designated rating period.

(5) Complete the performance appraisal and performance counseling as prescribed in AR 690-400.

(6) Submit appraisals and support forms to CHRA-E within 30 days after the end of the rating cycle. Supervisors will do either of the following:

(a) Send electronic TAPES forms (evaluations) by encrypted e-mail to [chra.uscpoc eur@eur.army.mil](mailto:chra.uscpoc eur@eur.army.mil).

(b) Complete a mass appraisal spreadsheet in Excel with the following columns:

| Name                | SSN         | Ending Date | Rating of Record | Appraisal Type |
|---------------------|-------------|-------------|------------------|----------------|
| Duke, Donald D.     | 123-45-6789 | 30-Jun-11   | 5                | A              |
| Smith, Thomas R.    | 012-34-5678 | 30-Jun-11   | 4                | A              |
| Goret, William P.   | 901-23-4567 | 30-Jun-11   | 3                | A              |
| Abbot, Jane L.      | 890-12-3456 | 30-Jun-11   | 2                | A              |
| Truman, Terrance T. | 789-01-2345 | 30-Jun-11   | 1                | A              |

- **Name:** Last, first, middle initial.
- **SSN:** Must include dashes.
- **Ending Date:** The date the rating cycle ends for the particular pay plan and grade.
- **Rating of Record:** Enter employee ratings of record. The sheet may include multiple rating of record values, but they should be listed in numerical order.
- **Appraisal Type:** This will always be "A" for Annual. CHRA-E does not process special appraisals. Special appraisals must be attached to the annual appraisal for filing.

**NOTE:** In TAPES, the numerical ratings of record (1 through 5) are reversed when compared to the National Security Personnel System (NSPS). In TAPES, 5 is the highest rating (excellence) and 1 is the lowest (fails). If the spreadsheet is not created correctly, employee records will be incorrect. The 1 through 5 ratings are reversed for DCPDS input.

(7) If using the mass appraisal spreadsheet ((6)(b) above), send—

(a) The spreadsheet using an award/one-time payment RPA to the AutoNOA Group Processing Box (Name: XYZ-0USAWD-COPD; Display Name: EU CPOC AUTONOA PROCESSING).

(b) Paper copies of the annual appraisals by mail to Awards Clerk, CHRA-E, Unit 23152, APO AE 09227-3152, with the statement, *The mass appraisal spreadsheet has already been sent to the US AWARDS Groupbox.*

**b. Processing Division, CHRA-E.** The Processing Division will—

(1) Return appraisals to the originator when there is not enough information to process them. Examples of why appraisals may be returned include the following:

(a) The period covered does not agree with the position pay plan and grade.

(b) The ratee name or social security number is missing or incorrect.

(c) The ratee position, pay plan, and grade are missing.

(d) DCPDS is not able to locate the employee using the information provided on the evaluation form.

(e) All pages of evaluation and support forms are not received.

(f) The rating of record has not been marked.

(g) The senior rater has not signed and dated the form.

(2) Update the appraisal entry in DCPDS within 3 workdays.

(3) Forward appraisals to the appropriate CHRA-E office for filing in employee personnel folders.

### **3. PERFORMANCE-BASED AWARDS**

**a. Individual Awards.** When a performance-based monetary award is approved for an individual, the supervisor will create an RPA in DCPDS and route it through the appropriate resource management office to the AutoNOA Group Processing Box (Name: XYZ-0USAWD-COPD; Display Name: EU CPOC AUTONOA PROCESSING). The nature-of-action code (NOAC) for rating-based individual cash awards is 840.

(1) Performance-based monetary awards will not be submitted until after the procedures in paragraph 2a have been completed.

(2) DA Form 1256, DA Form 7222-1, and DA Form 7223-1 will not be attached to the RPA.

**b. Group Awards.** Supervisors may submit performance-based monetary awards for 10 or more employees at the same time using one RPA, the mass awards spreadsheet in the tab to this enclosure, and the following process:

(1) Supervisors will—

(a) Ensure that a current appraisal for each member of the group has been submitted or is on file with the Processing Division (para 2a) before submitting an RPA for performance awards.

(b) Complete an RPA and attach a mass awards spreadsheet (as explained in table 1) to the RPA. Authorized and approved RPAs take the place of DA Form 1256, DA Form 7222-1, and DA Form 7223-1 when processing mass awards. When creating the RPA, the supervisor will annotate the notepad and the remarks section to indicate that the RPA is for a mass award and that the spreadsheet is attached.

(c) Route the RPA through the organization's resource management office.

(d) Maintain a copy of the award justification locally.

(e) Submit the mass award RPA to the AutoNOA group processing box (Name: XYZ-0USAWD-COPD; Display Name: EU CPOC AUTONOA PROCESSING).

(2) The Processing Division will upload the mass awards spreadsheet and process the awards.

| <b>Table 1</b>  |
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| <b>Mass Award RPA Instructions</b>  |
| 1. Create an RPA and indicate in the notepad and remarks section that the RPA is for a mass award and that the mass awards spreadsheet is attached.   |
| 2. Do not alter the format of the tabs. Once completed, save the spreadsheet before attaching it to the RPA and submitting it to CHRA-E.  |
| 3. The spreadsheet has seven tabs. Each tab is used for a specific type of mass event. Complete the tabs for the mass event required. RB = rating-based award; NRB = non-rating-based award. For TAPES-based performance awards, complete only tab 3. |
| Tab 1: All Employees; NOAC 849: (NRB) On-the-Spot Award (\$50 to \$500)   |
| Tab 2: All Employees; NOAC 849: (NRB) Special Act or Service Award (\$501 to \$25,000)  |
| Tab 3: Only GS and Federal Wage System (FWS) Employees; NOAC 840: RB Performance Award (This is an award based on an annual performance plan, not a specific performance act.)  |
| Tab 4: All Employees; NOAC 841: Group Cash Award (\$50 to \$500)  |
| Tab 5: All Employees; NOAC 841: Group Cash Award (\$501 to \$25,000)  |
| Tab 6: All Employees; NOAC 846: Individual Time-Off Award   |
| Tab 7: All Employees; NOAC 847: Group Time-Off Award  |

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|---|
| <b>Table 1</b>  |
| <b>Mass Awards RPA Instructions—Continued</b>   |
| 4. Complete tab 3 of the mass awards spreadsheet as follows:  |
| <b>Name:</b> Last, first, middle initial.   |
| <b>SSN:</b> Full social security number with dashes.  |
| <b>Award Effective Date:</b> Submit awards within the effective pay period. Awards may not be backdated. Employees may not receive more than one award on the same day. |
| <b>NOAC:</b> 840  |
| <b>Award Amount:</b> Do not use any special characters. Use whole numbers only.   |
| <b>Award UOM:</b> Enter code M.   |
| <b>Award Percentage:</b> Leave this field blank.  |
| <b>Award Agency Code:</b> Enter code AR.  |
| <b>Award Type:</b> Enter 9L.  |
| <b>Date Award Earned:</b> Enter the same date as in the Award Effective Date column.  |

**c. Quality Step Increase (QSI) (NOAC 892).**

(1) Supervisors will—

(a) Submit a current performance appraisal to the Processing Division (para 2a).

**NOTE:** This is required before a QSI action may be processed. The QSI will not be effective until the backup documentation (current rating of exceptional performance appraisal) is received and entered on the employee’s electronic personnel record by the Processing Division. QSIs may not be retroactive. An employee may not receive more than one QSI in any 52-week period.

(b) Complete an RPA with the employee’s name and SSN, as well as any other blocks not grayed out. Authorized and approved RPAs take the place of DA Form 1256, DA Form 7222-1, and DA Form 7223-1 for processing purposes.

(c) Maintain copies of award justifications locally.

(d) Submit the QSI RPA to the AutoNOA group processing box (Name: XYZ-0USAWD-COPD; Display Name: EU CPOC AUTONOA PROCESSING).

**NOTE:** There is no “mass process” for QSIs; each must be done individually.

(2) The Processing Division will process QSIs using the AutoNOA system.

**NOTE:** The AutoNOA system will automatically return QSI RPAs after 5 days to the originator of the RPA if a current performance appraisal is not in DCPDS.

Tab