Headquarters
Department of the Army
Washington, D.C.
1 June 1993

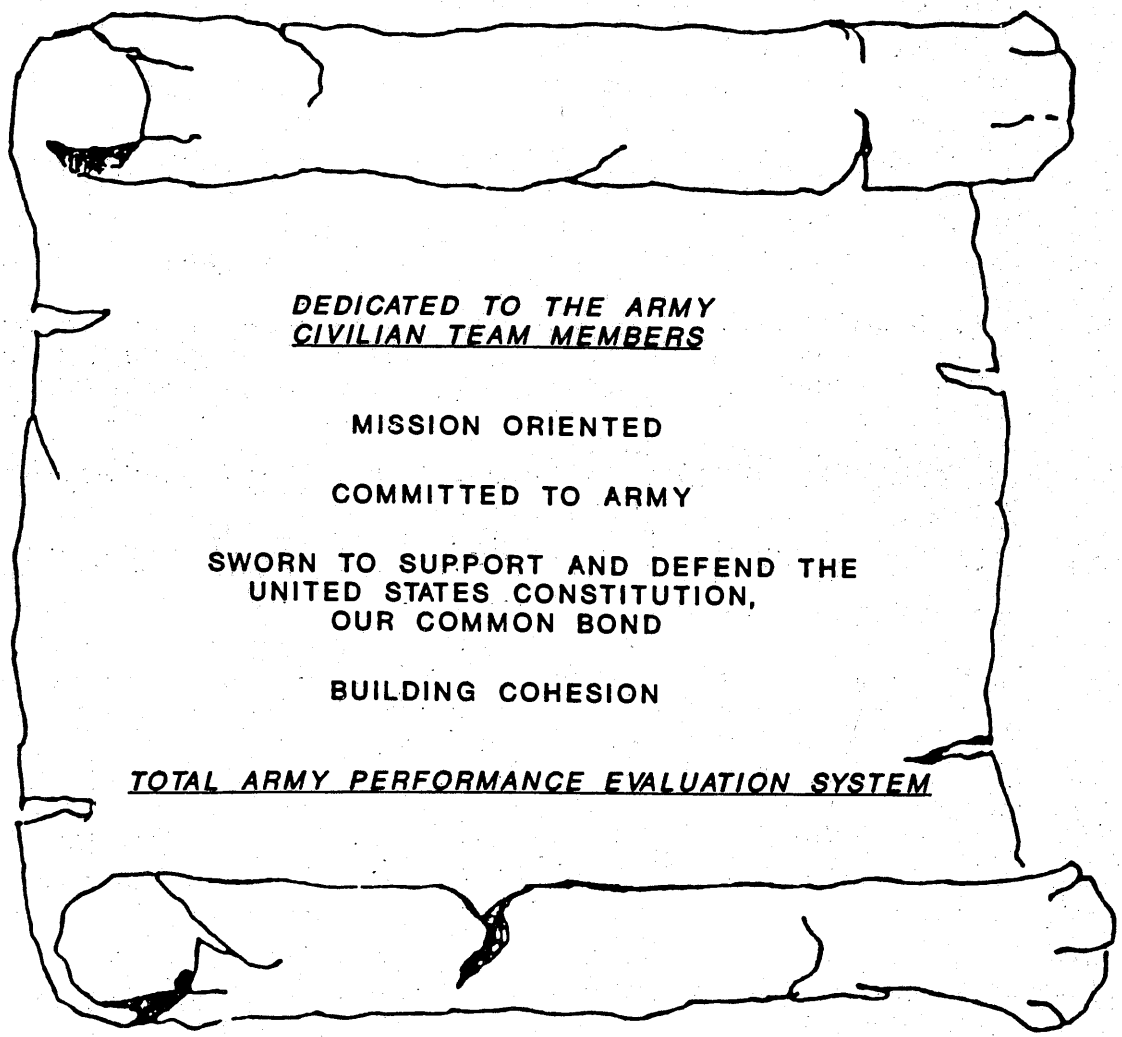
Department of the Army
Pamphlet 690-400



Total Army Performance Evaluation System (TAPES)

(Chapter 4302)

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DEDICATED TO THE ARMY
CIVILIAN TEAM MEMBERS
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COMMITTED TO ARMY
SWORN TO SUPPORT AND DEFEND THE UNITED STATES CONSTITUTION, OUR COMMON BOND
BUILDING COHESION
TOTAL ARMY PERFORMANCE EVALUATION SYSTEM

DA Pamphlet

No. 690-400, Chapter 4302

Headquarters
Department of the Army
Washington, DC, 1 June 1993

"TAPES"
Total Army Performance Evaluation System

This pamphlet introduces and briefly explains the new Total Army Performance Evaluation System. It provides examples for rating officials to follow in preparing the new forms. Policy on the new Total Army Performance Evaluation System is in AR 690-400, Chapter 4302.

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TAPES - TOTAL ARMY PERFORMANCE EVALUATION SYSTEM

DEFINITIONS OF TERMS

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

b. Counseling Checklist (DA Form 7223-1, Base System Civilian Performance Counseling Checklist/Record). The form used in the Base System to record results of performance counseling sessions. The counseling documented on the form should set forth specific work expectations and professional development plans and describe results of progress reviews of achievements and status of training. The information documented on the Counseling Checklist, coupled with the preprinted Responsibilities and performance standards, serves as the Performance Plan defined in 5 CFR 430.

c. Days. Calendar days.

d. General Schedule. Pay plan referred to as GS.

e. 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 the individual rating chains is a local activity commander or equivalent decision.)

f. 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.

g. Objective. A major goal or related short-term goals to be achieved during the current rating period that contribute to mission accomplishment. Objectives should be written as objectively as feasible (e.g. to include timeframes, allocated resources, legal/regulatory compliance requirements) and should be of such significance that failure to make satisfactory progress or complete the objective or group of related objectives for reasons within the employee's control could result in the employee's removal from the position. An Objective in the Senior System is the same as a critical element defined in 5 CFR 430.

DEFINITIONS OF TERMS (cont)

h. Objective Rating. The adjectival rating assigned to each documented Objective that the Ratee in the Senior System had a reasonable opportunity to perform.

i. Overall Performance Rating. The rating assigned to describe the Ratee's overall performance for the rating period. Formulas establish how Objectives and Responsibilities ratings determine the Overall Performance Rating.

j. Performance. An employee's accomplishment of documented expectations set forth during performance discussions.

k. 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 recorded on the Performance Evaluation Report forms. (DA Form 7222 (Senior System Civilian Evaluation Report) for Senior and DA Form 7223 (Base System Civilian Evaluation Report) for Base systems.)

l. Performance Management and Recognition System. The pay plan (designated GM) established for supervisory/managerial positions classified at levels GM-13 through -15 which are referred to as PMRS.

m. Performance Plan. Performance related expectations documented on the Counseling Checklist in the Base System, on the Support Form 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 preprinted Responsibilities (Base System only), preprinted Performance Standards, and individual work and professional development expectations.

n. Performance Standard. Statements of the types and levels of performance expected which serve as measuring tools to be used in assessing achievements. Generic performance standards are preprinted on the Counseling Checklist, the Support Form, and the ICD. These must be supplemented with specific individual expectations (e.g. specific projects and tasks, available resources, timeframes, appropriate levels of supervision) that are established and recorded during discussions between the Ratee and the Rating Chain.

DEFINITIONS OF TERMS (cont)

o. Progress Reviews. Reviews of the Ratee's achievements compared with documented expectations and professional development plans that take place at least around the midpoint of the rating period. Progress reviews are to be documented on the Counseling Checklist for employees in the Base System and on the Support Form for employees in the Senior System.

p. Ratee. The employee who is being rated.

q. 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.

r. Rating Chain. The Rater, Intermediate Rater (optional) and Senior Rater.

s. Rating of Record. The Overall Performance Rating assigned to the annual appraisal.

t. 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.

u. Responsibilities. Major job components for employees in the Base System. The expectations set forth for each Responsibility should be written as objectively as possible (e.g. milestones, quality of results, required processes, resources) and should be of such impact that failure to accomplish one or more of them could result in the Ratee's removal from the position. Responsibilities in the Base System are the Critical Job Elements required by 5 CFR 430.

v. Responsibility Rating. The adjectival rating assigned to each Responsibility in the Base System.

w. Senior Executive Service. The pay plan designated ES for positions classified above GS-15 pursuant to 5 USC, Section 5108 or in level IV or V of the Executive Schedule.

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

DEFINITIONS OF TERMS (cont)

y. 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 with responsibility for managing performance awards budgets must approve all ratings of record and must approve PMRS performance awards.

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

aa. Senior Rater Profile. The profile which shows the number of Ratees at the same grade level (regardless of pay plan) that the Senior Rater rated at each of the five overall performance rating levels for a rating period. The Senior Rater records his/her profile in Part VIII of DA Form 7222 after completing appraisals for all Ratees at the same grade level.

bb. Senior Technical. Pay plan for scientific and professional positions classified above GS-15 which are referred to as ST.

cc. Special Rating. Ratings issued for purposes other than the end of the annual rating cycle (e.g. at end of temporary promotions, special assignment and detail or when the current annual rating does not support an Acceptable Level of Competence decision).

dd. Support Form (DA Form 7222-1, Senior System Civilian Evaluation Report Support Form). The form in the Senior System on which Objectives are recorded and tracked throughout the rating period and on which the Ratee records his/her achievements at the end of the rating cycle. Objectives on the Support Form are the Critical Job Elements defined by 5 CFR 430.

ee. Values. DA values and ethics 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, Selfless Service, Integrity, Commitment, Competence, Candor, and Courage. These values and ethics form the core of Army's culture.

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

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

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

TWO SYSTEMS

- BASE SYSTEM - For evaluating WL, WG, WS/GS-8 and below, equivalent levels in other Pay Plans

- SENIOR SYSTEM - For evaluating ES, ST, SL, GM, WS/GS-9 and above, equivalent levels in other Pay Plans and Career Interns.

CYCLIC RATING PERIODS

- SENIOR SYSTEM

1 JULY - 30 JUNE: ES, 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, employees at equivalent levels in other Pay Plans

- BASE SYSTEM

WG, WL, WS/GS 1-8; employees at equivalent levels in other Pay Plans are rated on locally determined rating cycles

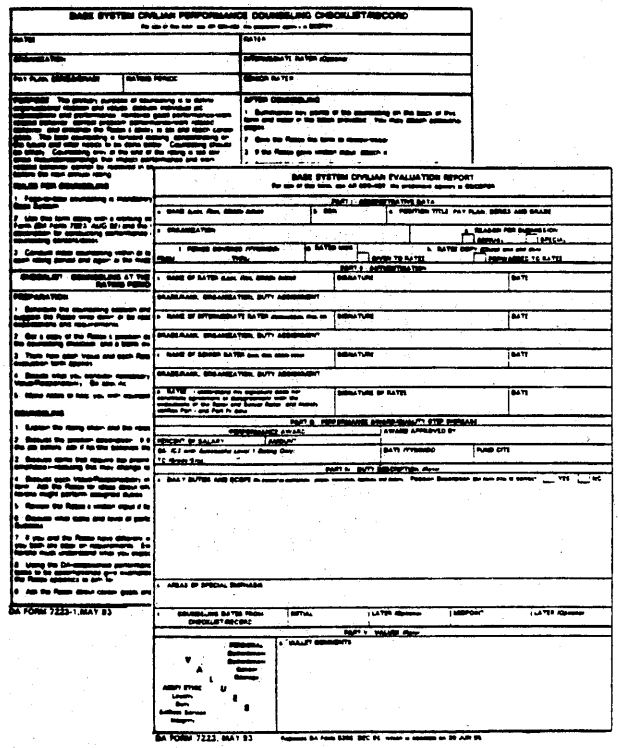
- CAREER INTERNS are rated under the Senior System. They will be rated after a 6-month period beginning o/a their EOD dates. (This first semi-annual rating is a special rating.) One year after EOD, Interns will receive their first annual rating. Thereafter, they will continue on their EOD based rating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

- NEW EMPLOYEES OR EMPLOYEES MOVING INTO POSITIONS THAT CHANGE THEIR ANNUAL RATING CYCLE DATES WILL BE RATED AS FOLLOWS:

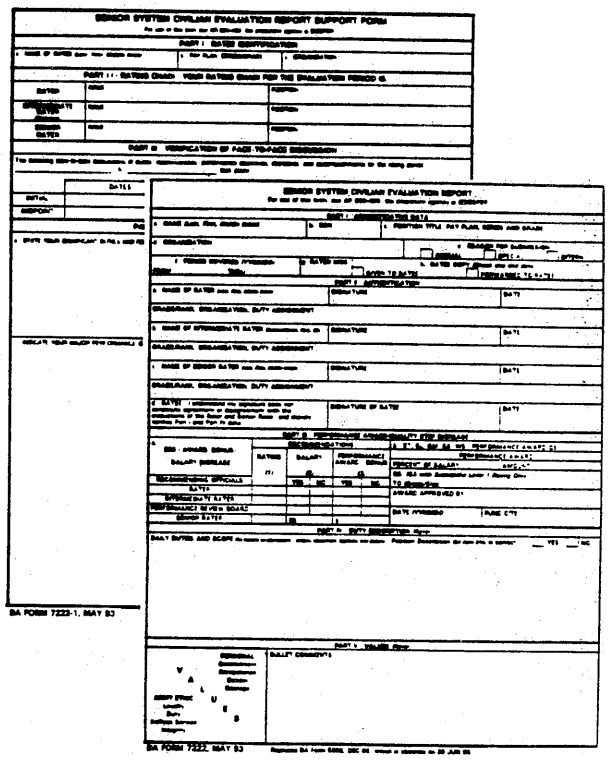
  - If entry occurs less than 120 days before rating period ends and the employee received an annual rating in the previous position, employee does not receive an annual rating. Include time in next annual rating cycle (e.g. annual rating for 14 months). [If no rating was done, extend the new rating period to allow 120 days under the new performance plan, then rate the employee.]

  - If entry occurs during the rating cycle and the employee works at least 120 days under an approved performance plan before the rating cycle ends, he/she receives a rating of record OR--If the employee has already received an annual rating for the rating year, the Rater should add the time in the new position to the next rating period rather than complete a second rating of record.

- **Base System**



- **Senior System**



- **PRIMARY EMPHASIS**

  - **Base System** - *Simplicity Through Standardization*

    - Periodic Counseling

    - Training/Development

  - **Senior System** - *Objective Setting*

    - Professional Development

  - **Both Systems** - *Link Tasks To Mission*

    - Ratee Input

BASE SYSTEM OVERVIEW

- Applicable to WL, WG, and WS/GS-8 and below, and positions at similar levels in other pay plans.

- Responsibilities (formerly called Elements) and performance standards apply to all employees and are printed on the forms. All Responsibilities are critical.

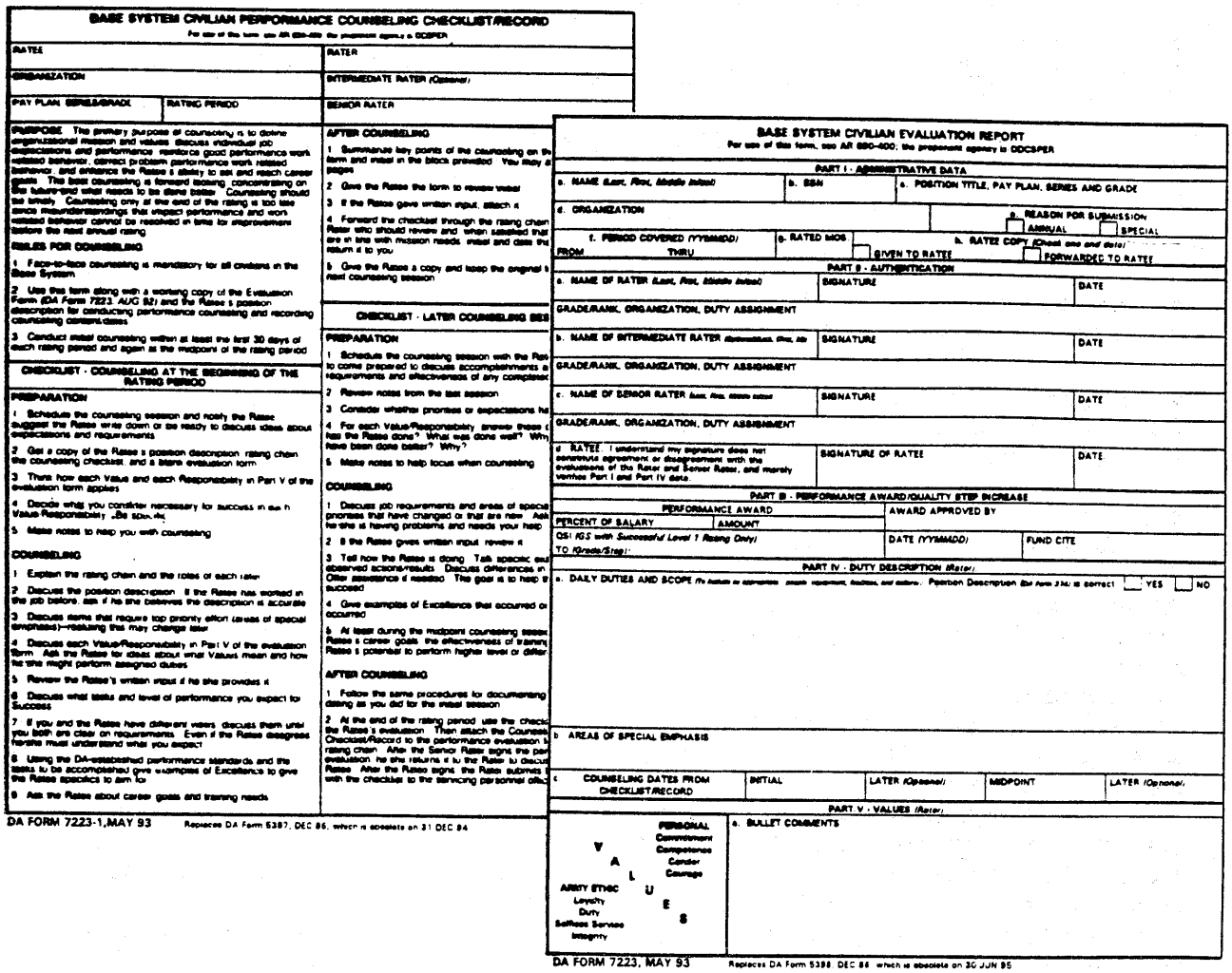
- Players:
  - **Ratee.** Person who is rated. This person talks to the boss (Rater) about the job--what needs to be done; how it should be done; what he or she is doing or wants to do; questions or problems he/she has; training and help he/she needs to do things better.
  - **Rater.** Usually first-level boss. This person tells the Ratee what needs to be done--when and how, how the Ratee is doing the work, what DA values mean, what training the Ratee needs; the Rater also asks the Ratee for ideas on same subjects.
  - **Intermediate Rater.** (Former Reviewing Official) - This person is between the Rater and the Senior Rater. He/she looks at performance plans and ratings and suggests needed changes. Many Ratees do not have Intermediate Raters.
  - **Senior Rater.** (Former Approving Official) - Person who approves performance plans and performance ratings and writes about potential.

- Counseling Checklist (DA Form 7223-1) replaces DA Form 5397, Civilian Performance Plan - The form that tells the Rater when and how to counsel and that the Rater and Ratee use to write down the main points made during counseling. When this information is written on the form and the Ratee and Raters have initialed and dated, the Counseling Checklist along with the position description, becomes the Performance Plan.

{Raters with employees on position descriptions generated by the Integrated Core Document (ICD) will use the ICD to document their performance plans and discussions rather than the Counseling Checklist}

Performance Counseling - Conducted within 30 days of the beginning of the rating period, again at the midpoint of the rating cycle and any other times as required.

- Performance Evaluation Report (DA Form 7223) replaces DA Form 5398, Civilian Performance Rating - The form on which the Ratee is rated--either for a Special or an Annual Rating.



BASE SYSTEM CIVILIAN PERFORMANCE COUNSELING CHECKLIST/RECORD

For use of this form, see AR 690-400; the proponent agency is DCSPER

RATEE | RATER

ORGANIZATION | INTERMEDIATE RATER (Optional)

PAY PLAN, SERIES/GRADE | RATING PERIOD | SENIOR RATER

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, AUG 82) and the Ratee's position description for conducting performance counseling and recording counseling sessions/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 form and initial in the block provided. You may a 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/ Rater who should review and, when satisfied that are in line with mission needs, initial and date the return it to you.
5. Give the Ratee a copy and keep the original f initial counseling session.

CHECKLIST - LATER COUNSELING SES

PREPARATION

1. Schedule the counseling session with the Rat to come prepared to discuss accomplishments a requirements and effectiveness of any completed
2. Review notes from the last session.
3. Consider whether priorities or expectations ha
4. For each Value/Responsibility, assess these c has the Ratee done? What was done well? Wh Ratee been done better? Why?
5. Make notes to help focus when counseling.

COUNSELING

1. Discuss job requirements and areas of specia priorities that have changed or that are new. Ask 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 and observed actions/results. Discuss differences in Offer assistance if needed. The goal is to help t succeed.
4. Give examples of Excellence that occurred or occurred.
5. At least during the midpoint counseling sessio Ratee's career goals, the effectiveness of training Ratee's potential to perform higher level or differ

AFTER COUNSELING

1. Follow the same procedures for documenting closing as you did for the initial session.
2. At the end of the rating period, use the checkl the Ratee's evaluation. Then attach the Counsel Checklist/Record to the performance evaluation b rating chain. After the Senior Ratee signs the per evaluation, he she returns it to the Ratee to discus Ratee. After the Ratee signs, the Ratee submits with the checklist to the forwarding personnel office.

DA FORM 7223-1, MAY 93 Replaces DA Form 5387, DEC 86, which is obsolete on 31 DEC 94

BASE SYSTEM CIVILIAN EVALUATION REPORT

For use of this form, see AR 690-400; the proponent agency is DCSPER

PART I - ADMINISTRATIVE DATA

a. NAME (Last, First, Middle Initial) | b. SSN | c. POSITION TITLE, PAY PLAN, SERIES AND GRADE

d. ORGANIZATION | g. REASON FOR SUBMISSION: ☐ ANNUAL ☐ SPECIAL

f. PERIOD COVERED (YYMMDD): FROM THRU | g. RATED MOS | h. RATEE COPY (Check one and date): ☐ GIVEN TO RATEE ☐ FORWARDED TO RATEE

PART II - AUTHENTICATION

a. NAME OF RATER (Last, First, Middle Initial) | SIGNATURE | DATE

GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT

b. NAME OF INTERMEDIATE RATER (Optional) | SIGNATURE | DATE

GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT

c. NAME OF SENIOR RATER (Last, First, Middle Initial) | SIGNATURE | DATE

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

PART III - PERFORMANCE AWARD/QUALITY STEP INCREASE

PERFORMANCE AWARD: PERCENT OF SALARY | AMOUNT | AWARD APPROVED BY

QSI (GS with Successful Level 1 Rating Only): TO (Grade/Step): | DATE (YYMMDD) | FUND CITE

PART IV - DUTY DESCRIPTION (Rater)

a. DAILY DUTIES AND SCOPE (To include as appropriate: amount, requirement, frequency, and criticality). Position Description (DA Form 374) is correct ☐ YES ☐ NO

b. AREAS OF SPECIAL EMPHASIS

c. COUNSELING DATES FROM CHECKLIST/RECORD | INITIAL | LATER (Optional) | MIDPOINT | LATER (Optional)

PART V - VALUES (Rater)

VALUES: PERSONAL Commitment, Competence, Candor, Courage; ARMY ETHIC Loyalty, Duty, Selfless Service, Integrity

a. BULLET COMMENTS

DA FORM 7223, MAY 93 Replaces DA Form 5388, DEC 86, which is obsolete on 30 JUN 95

PERFORMANCE COUNSELING

- Explain job requirements/ performance standards
- Determine training needs
- Promote successful performance
- Discuss DA Values
- Involve/develop ratee

PERFORMANCE EVALUATION

- Assess performance
- Reinforce values
- Discuss potential
- Document performance awards/QSIs

BASE SYSTEM COUNSELING CHECKLIST/RECORD

WHAT IS THE COUNSELING CHECKLIST?

- The Counseling Checklist (DA Form 7223-1) is the form on which the Rater writes what needs to be done--work and training--and how the Ratee is doing. It can be typed or handwritten and can be changed as needed. When the Ratee, the Rater, and the Senior Rater put their initials and the date on the form after they talk, the Counseling Checklist becomes the Performance Plan. The Performance Plan becomes effective on the date the Senior Rater initials.
- If more space is needed, the Rater can add more pages (plain paper, notebook paper, etc.). He/she should add copies of any written ideas the employee gives.
- Page 1 of the Counseling Checklist tells the Rater when and how to counsel.
- Page 2 of the Counseling Checklist shown on page 13 lists Responsibilities and Performance Standards and gives space for the Rater to summarize main points made during performance counseling.

WHY SHOULD I COUNSEL?

- To tell the Ratee what the work unit is doing
- To tell the Ratee what you expect him/her to be doing (what, how, and by when)
- To hear what the Ratee would like to do now and in the future, how he/she thinks the job could be done better, what help and/or training he/she thinks is needed.
- To explain what the DA values mean to you and what types of action show support of those values and to learn what the DA values mean to the Ratee and what types of action he/she believes show support.

HOW SHOULD I COUNSEL?

- Talk with the Ratee face-to-face
- Be as clear as possible about what you say
- Listen carefully to what the Ratee says
- Talk as often as needed to be sure you both understand

WHEN SHOULD I COUNSEL?

- Within the first 30 days of each rating period
- At least once more around the midpoint of the rating period

BASE SYSTEM CIVILIAN PERFORMANCE COUNSELING CHECKLIST/RECORD

For use of this form, see AR 690-400; the proponent agency is ODCSPER

RATEE | RATER

ORGANIZATION | INTERMEDIATE RATER *(Optional)*

PAY PLAN, SERIES/GRADE | RATING PERIOD | SENIOR RATER

SAMPLE

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 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. After the Ratee signs, the Rater submits the evaluation with the checklist to the servicing personnel office for filing.

DA FORM 7223-1,MAY 93 Replaces DA Form 5397, DEC 86, which is obsolete on 31 DEC 94

COUNSELING CHECKLIST/RECORD - PG 1

COUNSELING CHECKLIST/RECORD (cont)

WHY DO I USE THE CHECKLIST? To record what needs to be done so each Ratee will have a current performance plan to use and to record how/what things are being done so each member of the rating chain will have specific information on what was expected and what was accomplished.

HOW DO I USE THE CHECKLIST?

WITHIN THE FIRST 30 DAYS OF EACH RATING PERIOD:

- The Rater gets the Ratee's position description (or the ICD) and a Counseling Checklist. He/she reads the Checklist which tells when and how to talk about performance. The Rater thinks about DA values and what they mean to him/her. The Rater tells the Ratee when and why they will meet so the Ratee can be ready to talk about his/her ideas.

- At the meeting, the Rater and the Ratee talk about what needs to be done. The Ratee gives his/her ideas and talks about training and types of work he/she would like. Both talk about DA values--what they mean and what kinds of actions show support of those values. When both know what is to be done about the job and training, the Rater writes down the main points and both initial and date. The Rater sends the Counseling Checklist through the Intermediate Rater (if there is one) to the Senior Rater for him/her to initial and date to show he/she agrees. The Rater keeps the original signed Checklist and gives a copy to the Ratee.

DURING THE RATING PERIOD (AT LEAST AT THE MIDDLE OF THE RATING PERIOD)

- The Rater looks at the Checklist and decides what has changed, what the Ratee has done and how, what training he/she needs, and what the Ratee is doing to show support for DA values. He/She tells the Ratee when they will meet and what they will talk about.

- At the meeting, the Rater and the Ratee talk and make needed changes to the plan. When they both understand what was done, how it was done, and what needs to be done--they write the main points, their initials and the date. If major changes to expectations occur (e.g. new mission requiring changed priorities), the Rater sends the Checklist to the Senior Rater for approval. When the Senior Rater initials, the Rater keeps the original Checklist and gives the Ratee a copy.

AT THE END OF THE RATING PERIOD:

- The Raters use information on the Counseling Checklist to rate the Ratee's performance and to write the Evaluation Report.

- The Counseling Checklist (or the Performance Plan portion of the ICD) is attached to the Evaluation Report and submitted to the Civilian Personnel Office for processing and 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 91-12-11 91-12-16 91-12-20 91-12-30	R.A.J. D.S. JFD J.J.M.	• PLAN FOR PERSONNEL CUTBACKS • IDENTIFY COMPUTER NEEDS; REQUISITION EQUIPMENT • CONDUCT QTRLY SPOT-CHECK OF MINIMUM 100 PERSONNEL RECORDS • REDUCE OWCP & O.T. COSTS – 10% EACH BY FY END • COMPLETE UNIT'S TRAINING NEEDS SURVEY NLT OCT 92 • ATTEND BASIC SUPERVISION COURSE
LATER *(Optional)*		
MIDPOINT 92-06-06 92-09-09 92-07-14 92-07-18	R.A.J. D.S. JFD J.J.M.	• SUBMITTED TIMELY EEO GOALS THAT ARE AGGRESSIVE BUT ATTAINABLE WITH CONCERTED EFFORT; GOOD BRANCH SUPPORT • REQUISITIONED 2 ZENITHS TO AUTOMATE RECORDS; TIME TO BEGIN WORKING WITH CONTRACTORS ON WORK UNIT TRAINING • MADE LIGHT DUTY ASSIGNMENT FOR CLERK WITH INJURED BACK – REDUCED CLAIM COST BY 50% • QUARTERLY REVIEW OF RECORDS STILL DISCLOSES DISPOSAL ERRORS – NEEDS MORE EMPHASIS
LATER *(Optional)*		

REVERSE, DA FORM 7223-1, MAY 93

COUNSELING CHECKLIST/RECORD - PG 2

BASE SYSTEM EVALUATION REPORT

NOTE: TO BE COMPLETED AND A COPY SUBMITTED TO THE PERSONNEL OFFICE FOR FILING WITHIN 45 DAYS FROM THE END OF THE RATING PERIOD.

• PART I - ADMINISTRATIVE

Identifies the Ratee and his/her position, the type of rating, and the rating period.

• PART II - AUTHENTICATION

Names the Rating Chain. Signing is done as shown: Rater, Intermediate Rater (if there is one), Senior Rater, and Ratee.

• PART III - AWARDS NOMINATION AND APPROVAL

- Replaces the DA Form 1256 (Incentive Award Nomination and Approval) for nominating and approving Performance Awards and Quality Step Increases (QSI). Only the front page of the Evaluation Report Form (DA Form 7223), with Parts I-V completed is submitted to the Finance Office in accordance with local procedures.

- The Rater nominates the Ratee for a performance award/QSI by making an extra copy of Page 1 of the Evaluation Report Form with parts I, II, IV, and V completed, completing part III on the copy and submitting it with the Evaluation Report through the rating chain to the awards approver in accordance with local procedure. No award information may be shown on the original (employee) copy or official record copy of a completed Evaluation Report. The Ratee should not be told about the award until it has been approved through all channels.

- The Rater checks type of award, amount or step in current grade to which the Ratee will progress if award is a QSI (only GS Ratees rated Successful Level 1 are eligible) and forwards through the rating chain to the awards approver. This official may approve the award, modify the nomination by initialling a pen and ink change, or disapprove it. If he/she disapproves the award, the nomination should be returned (with verbal or written explanation) through the rating chain to the Rater.

BASE SYSTEM CIVILIAN EVALUATION REPORT

For use of this form see AR 690-400, the proponent agency is DCSPER

PART I - ADMINISTRATIVE DATA

a. NAME (Last, First, Middle Initial)	b. SOCIAL SECURITY NUMBER	c. POSITION TITLE, PAY PLAN, SERIES AND GRADE
JOHNSON, RAYMOND A.	021-54-1892	GS-204-06 Supv Files Clerk

d. ORGANIZATION	e. REASON FOR SUBMISSION
TAGD, Support Div, Recs Br, Retrieving & Disposal	[X] ANNUAL [ ] SPECIAL

f. PERIOD COVERED (YYMMDD)		g. RATED MONTHS	h. RATEE COPY (Check one and date)		
FROM 91 12 01	THRU 92 11 30	12	X GIVEN TO RATEE		FORWARDED TO RATEE 12/14/92

PART II - AUTHENTICATION

a. NAME OF RATER (Last, First, Middle Initial)	SIGNATURE	DATE
SMART, DONNA	Donna Smart	12/2/92

GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT
GS-7, Support Division, Records Branch, Chief, Retrieving and Disposal Section

b. NAME OF INTERMEDIATE RATER (Optional) (Last First MI)	SIGNATURE	DATE
DENN, JAMES F.		

GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT
GS-9, Support Division, Chief, Records Branch

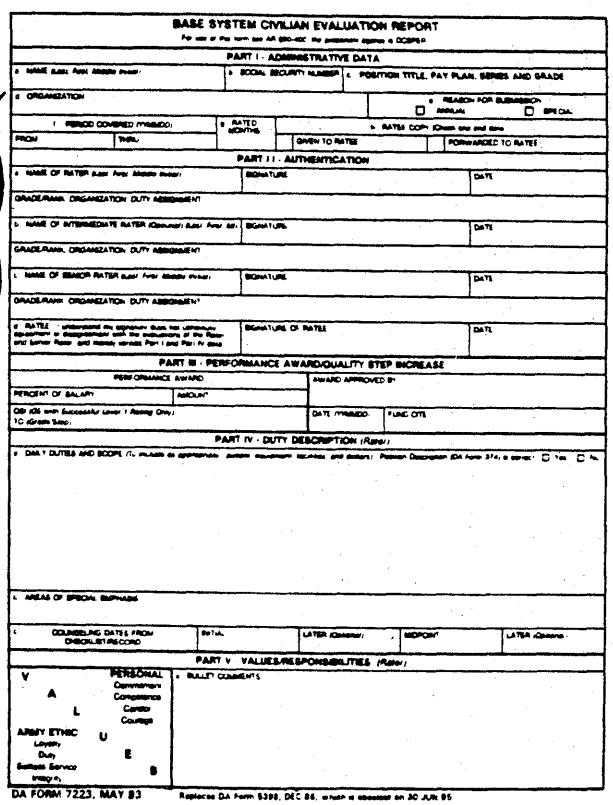
c. NAME OF SENIOR RATER (Last, First, Middle Initial)	SIGNATURE	DATE
MAYFAIR, SUSAN J.		

GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT
GS-11, TAGD, Chief, Support Division

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

PART III - PERFORMANCE AWARD/QUALITY STEP INCREASE

PERFORMANCE AWARD		AWARD APPROVED BY
PERCENT OF SALARY 2	AMOUNT $450.00	Susan J. Mayfair
QSI (GS with Successful Level 1 Rating Only) TO (Grade/Step)		DATE (YYMMDD) 93-1-7 / FUND CITE ALK003210



- *Identifies Ratee/ rating period*
- *Rating chain - new terms*
- *Awards nomination/approval*

BASE SYSTEM EVALUATION REPORT

• PART IV - DUTY DESCRIPTION

• **Position Description Review.** Rater and Ratee review Ratee's Official Position Description (DA Form 374, Department of the Army Job Description or the ICD) and check whether or not it describes major duties of the position. If "no" is checked, a copy of that portion of the evaluation should go to the position classifier in the Civilian Personnel Office (or the Rater should initiate corrective action) in accordance with local procedures.

• **Daily Duties and Scope.** The important duties and types of work that the Ratee usually performs on the job as reflected in the Position Description or the ICD. For supervisors, it should include information like the number of people supervised and types/amounts of resources managed (e.g. a motor pool, a stockyard, a powerhouse operation, a budget).

• **Areas of Special Emphasis.** The most important jobs and projects the Ratee worked on during the rating period--can include training or developmental assignments.

• **Counseling Dates.** Dates that the Rater and the Ratee had performance counseling sessions. This information should be copied from the Counseling Checklist.

PART IV - DUTY DESCRIPTION *(Rater)*

a DAILY DUTIES AND SCOPE *(To include as appropriate people, equipment, facilities, and dollars)* Position Description *(DA Form 374)* is correct ☒ Yes ☐ No

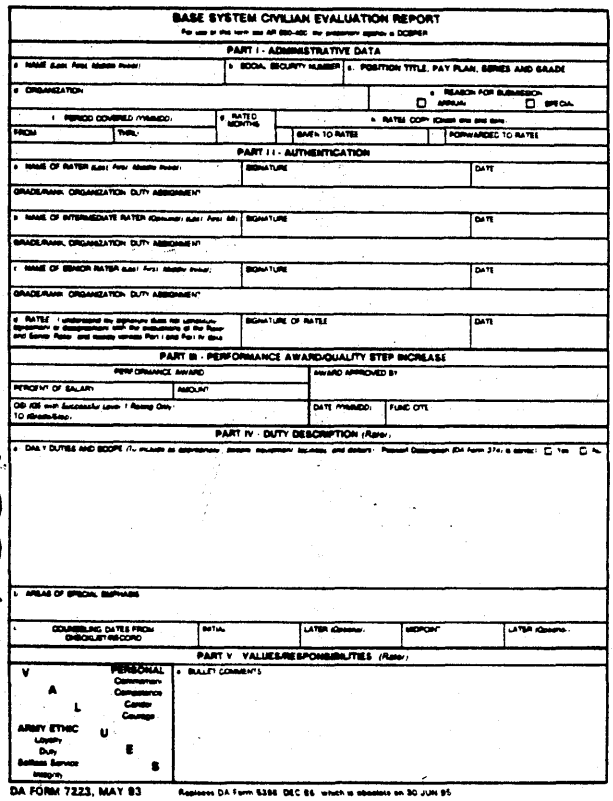
As Work Unit Leader of the Files Disposal Unit, supervises GS-3-4 files clerks who review military personnel records and purge them in accordance with MARKS. Distributes and balances workload, instructs subordinates, and monitors work to assure that files are timely and correctly disposed. Maintains current knowledge of operations and answers questions on procedures, policies, directives, etc. Adjusts work and sets/changes priorities as Branch needs dictate. Initiates formal requests for personnel actions. Maintains adequate working conditions.

b AREAS OF SPECIAL EMPHASIS
Implement MARKS Filing system before June Files Inspection.
Reduce Workers Compensation Program claims and costs.

c COUNSELING DATES FROM CHECKLIST/RECORD	INITIAL	LATER *(Optional)*	MIDPOINT	LATER *(Optional)*
	911211		920606	

COMPLETED BY RATER

- *Certify position description accuracy*
- *Summarized duty description*
- *Areas of special emphasis*
- *Counseling dates*



BASE SYSTEM CIVILIAN EVALUATION REPORT

PART I - ADMINISTRATIVE DATA

PART II - AUTHENTICATION

PART III - PERFORMANCE AWARD/QUALITY STEP INCREASE

PART IV - DUTY DESCRIPTION (Rater)

PART V - VALUES/RESPONSIBILITIES (Rater)

DA FORM 7223, MAY 83

BASE SYSTEM EVALUATION REPORT

• PART Va - DA VALUES

• Raters use this section to list ways Ratee shows support of Army values--through acts or words. **[Read page 50 for more information on the use of the values block.]**

• This section is not used in the formula to get the Overall Performance Rating. It is used to help Ratees learn and understand Army values.

• Written comments should be in "bullet" format describing specific examples or results or general work related behavior. Bullets are:

- Short, concise statements of performance/duty related behavior that do not have to reflect specific examples or results; e.g. "Shows high level of duty/selfless service in all actions."

- One, no more than two, lines per bullet.

- Double spaced between bullets.

PERSONAL VALUES

COMMITMENT - Willingly, consistently carrying out goals of the organization, the Army and the nation. Excellence driven. Customer focused. "Going the extra mile"

COMPETENCE - Obtaining, maintaining and applying knowledge, skills and abilities to do the job right. "Giving your best, nothing less"

CANDOR - Being frank, open, honest and sincere. "Telling the truth"

COURAGE - Facing and accepting challenges. Standing up for what you believe is right. "Undaunted by personal fears"

ARMY ETHIC

LOYALTY - Willingly, consistently supporting the organization and its people. "Always faithful"

DUTY - Acting through a personal sense of obligation to the organization, the Army and the nation. "Doing what's needed because you want to"

SELFLESS SERVICE - Putting needs of the organization above personal advantage and self-serving interests. "Mission first"

INTEGRITY - Living within the spirit as well as the word of the "law"; avoiding deception. "Word is bond"

EXAMPLES OF ADHERENCE

Supporting work team's decision; even if you disagree.

Considers workload when scheduling nonemergency leave.

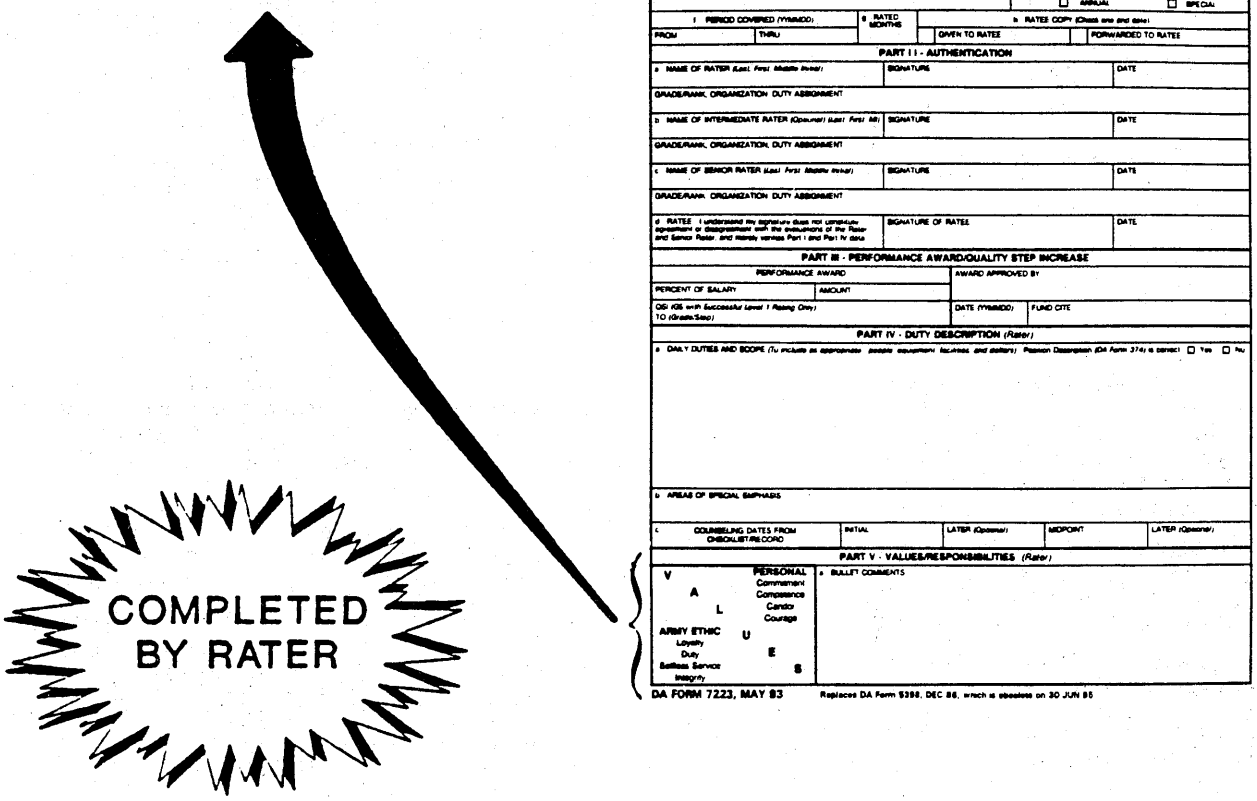
Admitting to a mistake when someone else could have been blamed.

Suggesting new procedure that saves time and money.

Taking a night class to update skills.

PART V - VALUES/RESPONSIBILITIES *(Rater)*	
V A L U E S **PERSONAL** Commitment Competence Candor Courage **ARMY ETHIC** Loyalty Duty Selfless Service Integrity	a BULLET COMMENTS o Always willing to help others learn. o Sets high personal standards; leads by example. o Likes to learn new things.

DA FORM 7223, MAY 93 Replaces DA Form 5398, DEC 86, which is obsolete on 30 JUN 95



- *DA Values*
- *Bullet narrative - encouraged but not mandatory*
- *Not used in formula to derive Overall Performance Rating*

BASE SYSTEM EVALUATION REPORT

• PART Vb - RESPONSIBILITIES

• Each Responsibility is listed on the left, followed by trigger words to remind the Rater what types of activities are being rated.

• THE RATER checks a rating block for each Responsibility after thinking about what and how well the Ratee did, as follows:

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 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 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.

• THE RATER writes bullet examples of what the Ratee did:

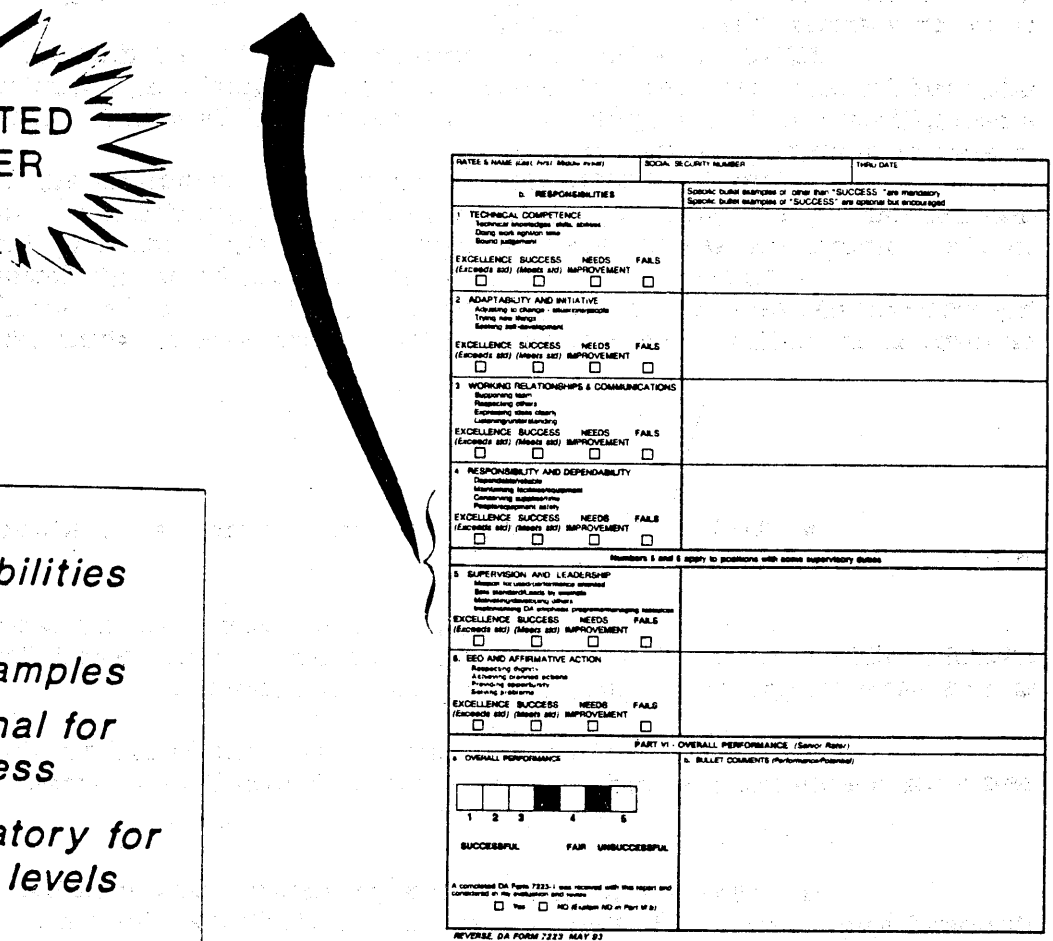
- Raters must give examples of work for block checks other than SUCCESS. Examples are encouraged for SUCCESS since one purpose of the rating is to inform.

- Examples are specific results that can be seen or measured; simple statements of what was done.

• The Rater sends the proposed evaluation with the Counseling Checklist/Record to the next-level Rater.

4. RESPONSIBILITY AND DEPENDABILITY Dependable/reliable Maintaining facilities/equipment Conserving supplies/time People/equipment safety EXCELLENCE SUCCESS NEEDS FAILS *(Exceeds std) (Meets std)* IMPROVEMENT ☒ ☐ ☐ ☐	o Rearranged office to reduce OWCP claims by 25%. o Reduced costs with two Light-duty assignments. o 100% suspense met - compared to last year's unit performance of less than 75%.
Numbers 5 and 6 apply to positions with some supervisory duties	
5. SUPERVISION AND LEADERSHIP Mission focused/performance oriented Sets standard/Leads by example Motivating/developing others Implementing DA emphasis programs/managing resources EXCELLENCE SUCCESS NEEDS FAILS *(Exceeds std) (Meets std)* IMPROVEMENT ☐ ☒ ☐ ☐	o Established first TAQ teams in Division--to improve morale and effectiveness. o Effected sensitive employee removal with care/concern.

COMPLETED BY RATER



- *Lists Responsibilities*
- *Bullet examples*
  - *Optional for Success*
  - *Mandatory for other levels*
- *Check the block ratings*

HOW RATER DERIVES RESPONSIBILITY RATING USING PERFORMANCE STANDARDS

RATEE, GS-6 SECRETARY

(1) SELECTS RESPONSIBILITY TO RATE

e.g. Technical Competence

(2) ASKS: WHICH TASKS DID THE RATEE PERFORM THAT REQUIRED TECHNICAL COMPETENCE?

Prepared correspondence, reviewed correspondence, made logistical arrangements for meetings, arranged travel, and received visitors and callers.

(3) APPLIES PERFORMANCE STANDARDS (e.g. Listed Below)

How often did Ratee do better than, as well as, not as well as the "Success" level described by performance standards for Technical Competence?

(4) CHECKS RESPONSIBILITY RATING BLOCK--EXCELLENCE, SUCCESS, NEEDS IMPROVEMENT, FAILS

DA RESPONSIBILITIES AND PERFORMANCE STANDARDS

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.

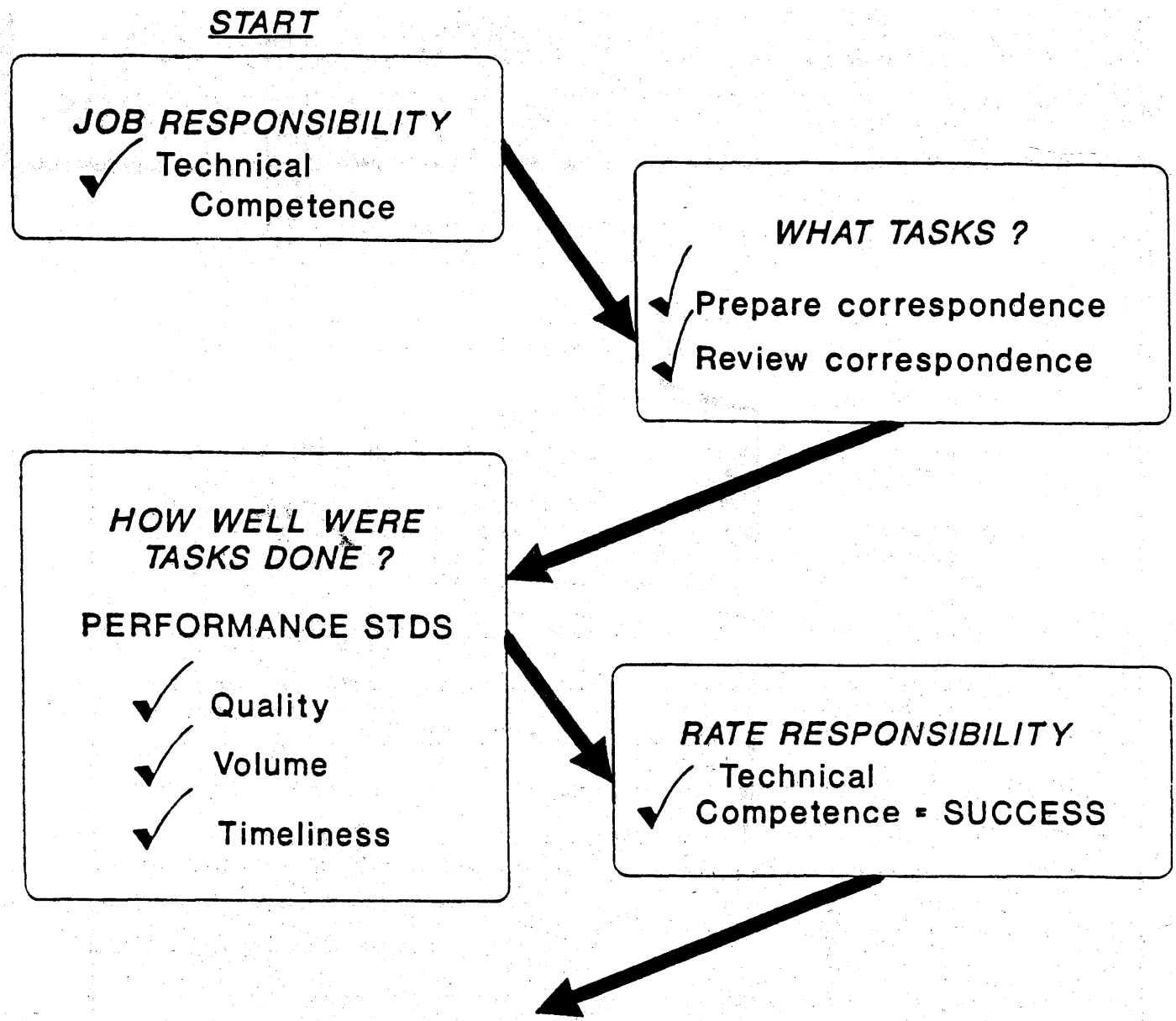
WORKING RELATIONSHIPS/COMMUNICATIONS. As a team member, works well with group and helps others get the job done. Expresses ideas clearly. Follows instructions or asks for clarification. Shows respect and is courteous. Shows concern for customer.

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.



RATEE'S NAME (Last, First, Middle Initial)	SOCIAL SECURITY NUMBER	THRU DATE
JOHNSON, RAYMOND A.	021-54-1892	921130

b. RESPONSIBILITIES	Specific bullet examples of other than "SUCCESS," are mandatory. Specific bullet examples of "SUCCESS" are optional but encouraged.
1. TECHNICAL COMPETE[illegible] Technical knowledges, sk[illegible]ities Doing work right/on tim[illegible] Sound judgement EXCELLENCE (Exceeds std) ☐ SUCCESS (Meets std) ☒ NEEDS IMPROVEMENT ☐ FAILS ☐	o Expert knowledge of MARKS helped Section pass June Files Inspection with no "needs improvement." o First to automate; train subordinates. o Always disposed of records within 2 weeks from cutoff

BASE SYSTEM EVALUATION REPORT

• INTERMEDIATE RATER

• The Intermediate Rater is usually a supervisor between the Rater and Senior Rater. Rating chains having no supervisor between the Rater and Senior Rater will not have an Intermediate Rater.

• Reviews the Counseling Checklist/Record and the Responsibilities ratings assigned by the Rater.

• Recalls personal knowledge/observations of Ratee's performance and work related behavior.

• If agrees with the Rater's proposed rating, signs and dates in Part II of the evaluation form and sends it with the Counseling Checklist/Record to the Senior Rater.

• If disagrees with proposed rating

- Tries to work it out with the Rater.

- If that doesn't work, gives both views to the Senior Rater (preferably in writing).

- Signs and dates in Part II and sends the proposed rating with his/her written comments and the Counseling Checklist/Record to the Senior Rater.

PART II - AUTHENTICATION		
a. NAME OF RATER (Last, First, Middle Initial) SMART, DONNA	SIGNATURE Donna Smart	DATE 12/2/92
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT GS-7, Support Division, Records Branch, Chief, Retrieving and Disposal Section		
b. NAME OF INTERMEDIATE RATER (Optional) (Last First MI) DENN, JAMES F.	SIGNATURE James F. Denn	DATE 12/6/92
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT GS-9, Support Division, Chief, Records Branch		
c. NAME OF SENIOR RATER (Last First, Middle Initial) MAYFAIR, SUSAN J.	SIGNATURE Susan J. Mayfair	DATE 12/13/92
GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT GS-11, TAGD, Chief, Support Division		
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 Raymond A. Johnson	DATE 12/14/92

TAPC-RDR

5 December 1992

MEMORANDUM FOR: SUSAN J. MAYFAIR

SUBJECT: Performance Rating, 911201-921130, Raymond A. Jackson

1. As Mr. Jackson's Intermediate Rater, I concur with the Responsibilities ratings assigned by Ms. Smart-with one possible exception. I believe that we should consider rating Mr. Jackson EXCELLENCE in Leadership and Supervision. I have discussed this with Ms. Smart. Her position is summarized in paragraph 3.

2. Mr. Jackson has done a tremendous job as unit supervisor. He reduced costs with automation and more efficient work flow; he established the first TAQ team in our Division, and his six subordinates are enthusiastic. Compared to his predecessor, Mr. Jackson worked miracles. Mr. Jackson cut OWCP almost in half by emphasizing safety, rearranging the office, and bringing an employee back part-time for 3 months to allow her complete rehabilitation from an OTJ accident.

3. Ms. Smart agrees that Mr. Jackson is doing a great job. However, she pointed out that she had credited his cost savings in overtime and OWCP in other Responsibilities. She holds she is rating Mr. Jackson against his performance requirements-not against the deficiencies of his predecessor. As for the TAQ team, she prefers to wait until the team produces results rather than use its formation as basis for a rating other than SUCCESS.

4. We both wanted you to have our more detailed viewpoints as you consider the ratings assigned. (This change would elevate the Overall Performance Rating.)

J. F. Denn

J. F. DENN

BASE SYSTEM EVALUATION REPORT

• PART VI - OVERALL PERFORMANCE

THE SENIOR RATER:

• Reviews Responsibilities and examples/comments of performance assigned by subordinate raters.

• If in agreement with Responsibilities ratings, checks appropriate OVERALL PERFORMANCE RATING (block VIa) using the Definitions below and writes bullet comments on the Ratee's performance and/or potential.

- Bullet comments are short, concise descriptions of performance/potential that do not have to reflect specific examples or results.

• If the Senior Rater disagrees with the Responsibilities ratings assigned by the Rater, he/she tells the Rater why; e.g. the Senior Rater believes that the bullet examples do not justify the Responsibilities rating or the Senior Rater has information that gives him/her a different view of the value of the Ratee's achievements to mission accomplishment. If the disagreement is not resolved, directs or makes necessary changes to Responsibilities ratings and comments/examples. Once the disagreement is resolved, the Senior Rater completes the Overall Performance Rating block, writes bullet comments, and returns the performance evaluation to the Rater for discussion with/signature of the Ratee.

• OVERALL PERFORMANCE RATING DEFINITIONS:

SUCCESSFUL LEVEL 1 - Ratee **with no supervisory duties** is rated EXCELLENCE in 2 or more of the nonsupervisory Responsibilities and SUCCESS in the remaining nonsupervisory Responsibilities. Ratee **with supervisory duties** is rated EXCELLENCE in 3 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 430.)

SUCCESSFUL LEVEL 2 - Ratee **with no supervisory duties** is rated EXCELLENCE in one and SUCCESS in other nonsupervisory Responsibilities. Ratee **with supervisory duties** is rated EXCELLENCE in two Responsibilities--one must be either Supervision/Leadership or EEO/AA; both may be--and SUCCESS in the remainder. (This is Level 4 in 5 CFR 430.)

SUCCESSFUL 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 Responsibility. (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.)

PART VI - OVERALL PERFORMANCE *(Senior Rater)*

a. OVERALL PERFORMANCE

1 2 3 4 5

SUCCESSFUL FAIR UNSUCCESSFUL

A completed DA Form 7223-1 was received with this report and considered in my evaluation and review

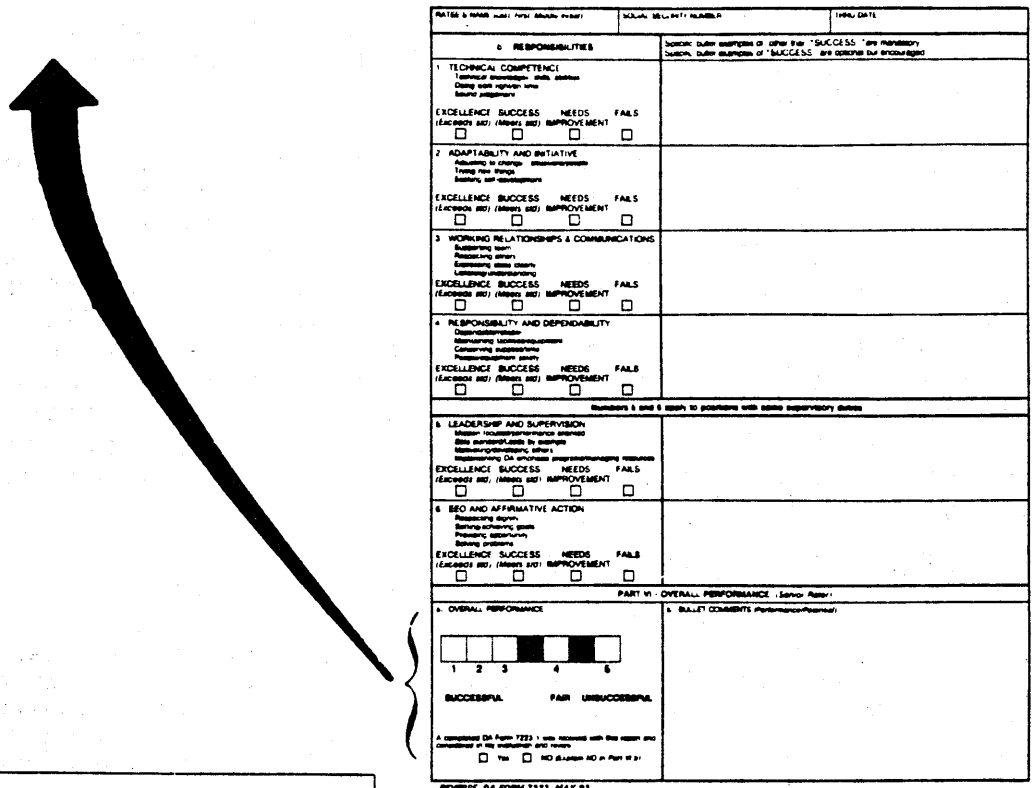
■ Yes ☐ NO *(Explain NO in Part VI b)*

b. BULLET COMMENTS *(Performance/Potential)*

o Challenged subordinates; led by example--to increase productivity and morale.

o Prime candidate for promotion to Section Chief.

REVERSE, DA FORM 7223, MAY 93



- *Bullet comments*
  - *o Performance*
  - *o Potential*
- *Final authority*
- *Overall Performance Ratings derived from Responsibilities ratings*

COMPLETED BY SENIOR RATER

SENIOR SYSTEM OVERVIEW

- Applicable to ES, ST, SL, GM, WS/GS-9 and above, employees in equivalent positions in other Pay Plans (e.g. Powerhouse Superintendents) and Career Interns.

- DA-wide performance standards preprinted on form.

- Individual performance objectives serve as critical job elements as defined in 5 CFR 430.

- DA values displayed for discussion.

- New Terms/Roles for Ratee and Rating Chain:

  - **Ratee.** Initiates Objectives; lists accomplishments
  - **Rater.** Defines mission, mentors, and evaluates
  - **Intermediate Rater.** (New name for Reviewing Official) - Reviews/concurs in Objectives and ratings or resolves disagreements with Rating Chain; makes bullet comments on performance
  - **Senior Rater.** (New name for Approving Official) - Reviews/approves Objectives and Objectives ratings or resolves disagreements/overrides Rater(s); comments on performance and potential

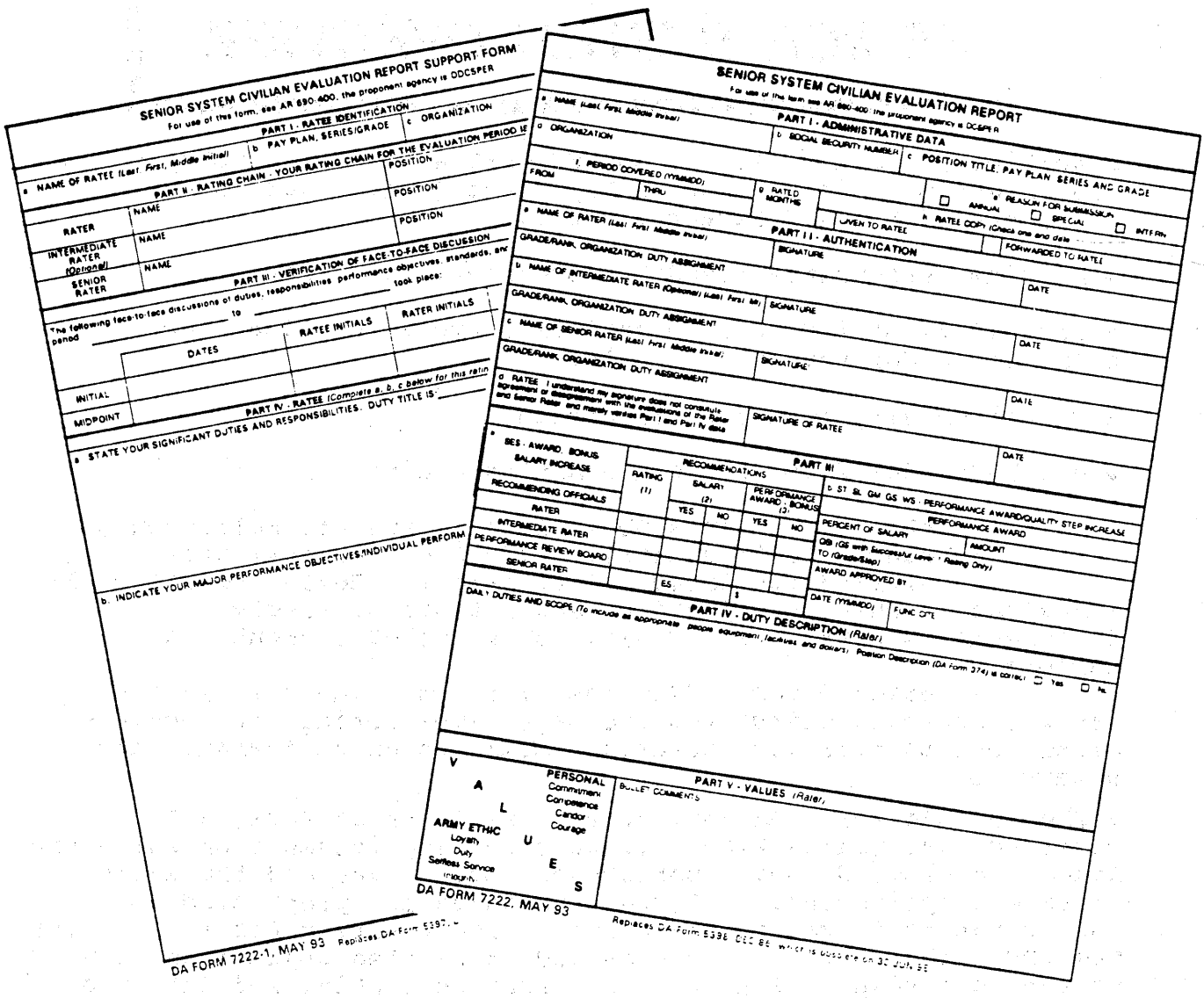
- The Support Form (DA Form 7222-1) replaces DA Form 5397, Civilian Performance Plan. It is a working document on which the Ratee and Rater document performance objectives and the Ratee lists accomplishments. DA-wide standards are preprinted to assist Raters in rating objectives. The Position Description (or the ICD), the DA-wide standards and documented objectives serve as the Performance Plan once Raters/Ratee initial and date the form. The Performance Plan becomes effective on the date the Senior Rater initials.

{Ratees whose position descriptions are generated by the Integrated Core Document (ICD) will use the performance plan portion of the ICD to record objectives, document progress and list accomplishments.}

- Performance discussion communicates mission and goals, establishes objectives, gets/provides feedback on performance and career goals--all to facilitate organizational and individual success and to develop the Ratee.

  - Initial objectives-setting discussion and documentation required within 30 days from beginning of each rating period; later discussion required at least at the midpoint of rating period.

- The Evaluation Report (DA Form 7222) replaces DA Form 5398, Civilian Performance Rating. It summarizes major duties, displays and provides space to assess adherence to DA values, provides block checks to summarize Objectives ratings, uses a reduced bullet narrative format, provides all Raters space for comment, and allows Senior Rater to focus on potential. It also documents performance-related award nomination/approval.



PERFORMANCE PLANNING

- *Define objectives*
- *Link individual/ organizational goals*
- *Plans professional development*
- *Ratee driven*

PERFORMANCE EVALUATION

- *Evaluate contributions*
- *Reinforce values*
- *Discuss potential*
- *Document performance awards/SES pay increases and bonuses*

SENIOR SYSTEM SUPPORT FORM

WITHIN 30 DAYS FROM THE BEGINNING OF EACH RATING PERIOD:

- The Ratee lists proposed individual Objectives based on mission priorities/needs and duties of his/her position and records these Objectives on the Support Form. {NOTE: The intent is for Ratees to take initial responsibility for planning their own job expectations. However, some situations may dictate that the Rater and the Ratee work together to establish Objectives, or even that the Rater develop the Objectives and discuss them with the Ratee; e.g. the Ratee may be an Intern, the Ratee may be new to the position, the position itself may be new, or organizational goals may be changing significantly. If the Ratee is initiating his/her performance Objectives, the Rater may provide his/her own Support Form to the Ratee since goals come from the top.}

  - Objectives are the Job Elements defined in Civil Service regulations (5 CFR 430). All Objectives are considered critical, so each Objective that is rated carries the weight of a critical element in the former system. Thus, each Objective should be of the same relative importance to mission accomplishment. If the Ratee lists a number of small-scale Objectives, he/she should group them as sub-objectives under a single Objective, as shown under Organizational Management/ Leadership on the example page.

  - Objectives should reflect duties listed in the Position Description or the ICD and where appropriate, include clearly defined expectations in such areas as supervision, EEO/AA, safety/security, internal controls, etc.

  - Objectives should include milestones, fiscal resources and other measurable aspects to supplement generic performance standards.

  - Objectives can include desired training and developmental assignments.

- The Ratee and the Rater discuss and agree to Objectives and list them on the Support Form. If they cannot agree, the Rater decides. The Rater submits the Support Form through the rating chain to the Senior Rater to review/assure that Objectives are in line with the organization's priorities and that they are realistic. When the Senior Rater is satisfied with the Objectives, he/she initials and dates the Support Form and returns it to the Rater. The Rater gives the original to the Ratee and retains a copy for his/her record.

- The Rater and the Ratee discuss Army values-what they mean to each and what types of performance, work related behavior and attitude each believes indicates understanding and adherence.

SENIOR SYSTEM CIVILIAN EVALUATION REPORT SUPPORT FORM

For use of this form, see AR 690-400; the proponent agency is ODCSPER

PART I - RATEE IDENTIFICATION

a. NAME OF RATEE *(Last, First, Middle Initial)*	b. PAY PLAN, SERIES/GRADE	c. ORGANIZATION
DAVIS, MELVIN O.	GS-2130-12	Operations & Quality Assurance Br

PART II - RATING CHAIN - YOUR RATING CHAIN FOR THE EVALUATION PERIOD IS:

	NAME	POSITION
RATER	KEM F. YOUNG	Chief, Operations & Quality Assr Br
INTERMEDIATE RATER *(Optional)*	SAM O. SIMPSON	Chief, Quality Control Division
SENIOR RATER	HEATHER D. BROWN	Executive Officer

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 7/1/91 to 6/30/92 took place:

	DATES	RATEE INITIALS	RATER INITIALS	INTERMEDIATE RATER INITIALS	SENIOR RATER INITIALS	DATE
INITIAL	7/1/91	MOD	KY	SOS	HDB	7/2/91
MIDPOINT						

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

a. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES DUTY TITLE IS Chief, Operations Branch

Supervise personnel and functional activities of Operations Branch. Direct program areas to include standardizing field operations, evaluating warehouse facilities and promoting improvements, overseeing contract administration and protecting government interests in defaults and disasters. Monitor field use of ROA and SIT Programs. Standardize storage operations for ± 3700 commercial warehouses. Chair the Defense Subcommittee for Personal Property, establishing and monitoring worldwide. Investigate and recommend solutions for worldwide traffic crisis. Perform total range of personnel management responsibilities.

b. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES/INDIVIDUAL PERFORMANCE STANDARDS

- o Initiate action to procure three warehouses in Italy.
- o Disseminates revised inspection procedures for warehouses NLT Mar 92.
- o Investigate traffic crisis and identify appropriate corrective action within established time frame.
- o Complete inventories of 1/3 existing commercial warehouses under NMUC control.
- o Develop SOP for Personal Property Movement and Storage Program in SWA NLT Nov 91.
- o Develop and disseminate Safety Checklist for warehousing activities NLT May 92.
- o Prepare/present briefing on direct procurement contracting at Jan 92 Worldwide Sympesium of Traffic Management Specialties.
- o Develop automated tracking system for status/results of contractor default actions.
- o Management/Leadership
  - Timely counsel subordinates and evaluate performance.
  - Place weak performer in Opportunity to Improve Period-NLT 30 Sep 91.
  - Complete Training Needs Survey NLT Oct 91.
- o Support EEO/Affirmative Action
  - Complete Branch AA Plan Annex NLT 30 Nov 91.
  - Convert two GS-11 vacant positions to Upward Mobility, GS-5 to GS-11.
  - Nominate two subordinates to (1) serve on FWP Committee and (2) be an EEO Counselor.

DA FORM 7222-1, MAY 93 Replaces DA Form 5397, DEC 86, which is obsolete on 31 DEC 94

- *Defines rating chain*
- *Establishes/documents objectives/standards*
- *Summarizes position responsibilities*
- *Records performance discussions*

PERFORMANCE DISCUSSION/ DOCUMENTATION

DURING THE RATING PERIOD:

- The Support Form is a working document. Organizational priorities and goals may change during the rating cycle; individual Objectives should change as well. As new Objectives are added or Objectives change, are deleted, or are accomplished, the Rater and the Ratee should document the Support Form accordingly.

- If major changes to expectations are made on the Support Form, the Senior Rater should review and approve the modifications.

- At least at the midpoint of the rating cycle, the Rater and Ratee should review Objectives and accomplishments, training completed or to be scheduled, etc. and make notes of the discussion on the Support Form.

- If documenting performance discussions requires additional space, the information may be recorded on other paper and attached to the Support Form.

SENIOR SYSTEM CIVILIAN EVALUATION REPORT SUPPORT FORM

For use of this form, see AR 690-400; the proponent agency is ODCSPER

PART I - RATEE IDENTIFICATION

a. NAME OF RATEE (Last, First, Middle Initial)	b. PAY PLAN, SERIES/GRADE	c. ORGANIZATION
DAVIS, MELVIN O.	GS-2130-12	Operations & Quality Assurance Br

PART II - RATING CHAIN - YOUR RATING CHAIN FOR THE EVALUATION PERIOD IS:

	NAME	POSITION
RATER	KEM F. YOUNG	Chief, Operations & Quality Assr Br
INTERMEDIATE RATER (Optional)	SAM O. SIMPSON	Chief, Quality Control Division
SENIOR RATER	HEATHER D. BROWN	Executive Officer

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 7/1/91 to 6/30/92 took place:

	DATES	RATEE INITIALS	RATER INITIALS	INTERMEDIATE RATER INITIALS	SENIOR RATER INITIALS	DATE
INITIAL	7/1/91	MOD	KY	SOS	HDB	7/2/91
MIDPOINT	1/4/92	MOD	KY	SOS	HDB	1/6/92

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

a. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES DUTY TITLE IS Chief, Operations Branch

Supervise personnel and functional activities of Operations Branch. Direct program areas to include standardizing field operations, evaluating warehouse facilities and promoting improvements, overseeing contract administration and protecting government interests in defaults and disasters. Monitor field use of ROA and SIT Programs. Standardize storage operations for ± 3700 commercial warehouses. Chair the Defense Subcommittee for Personal Property, establishing and monitoring worldwide. Investigate and recommend solutions for worldwide traffic crisis. Perform total range of personnel management responsibilities.

b. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES/INDIVIDUAL PERFORMANCE STANDARDS

- o Initiate action to procure three warehouses in Italy. Distribution made 2/17/92
- o ~~Disseminates revised inspection procedures for warehouses NLT Mar 92.~~
- o Investigate traffic crisis and identify appropriate corrective action within established time frame. 1/12/92 60% complete
- o Complete inventories of 1/3 existing commercial warehouses under NMUC control.
- o Develop SOP for Personal Property Movement and Storage Program in SWA ~~NLT Nov 91.~~ completed Oct 91
- o Develop and disseminate Safety Checklist for warehousing activities NLT May 92.
- o Prepare/present briefing on direct procurement contracting at ~~Jan 92 Worldwide Symposium~~ of Traffic Management Specialties. gave report
- o Develop automated tracking system for status/results of contractor default actions.
- o Lead/supervise personnel
  - Timely counsel subordinates and evaluate performance. 1/12 all appraisals completed in 30 days
  - Place weak performer in Opportunity to Improve Period-NLT 30 Sep 91. removal effected March 92
  - Complete Training Needs Survey NLT Oct 91.
- o Support EEO/Affirmative Action
  - Complete Branch Affirmative Employment Plan Annex NLT 30 Nov 91.
  - Convert two GS-11 vacant positions to Upward Mobility, GS-5 to GS-11. only 1 converted
  - Nominate two subordinates to (1) serve on FWP Committee and (2) be an EEO Counselor. Charlie Adams Sheila Crapo

Expend awards budget - $8,000.
~~Apply for AMSC~~ - selected to attend Fall 92
Find new warehouse location to replace the 3 in Guam & Puerto Rico that are unserviceable.

DA FORM 7222-1, MAY 93 Replaces DA Form 5397, DEC 86, which is obsolete on 31 DEC 94

SUPPORT FORM - PAGE 1

- *During rating period - working document*
- *Changes/accomplishments should be recorded*

SENIOR SYSTEM SUPPORT FORM PERFORMANCE DOCUMENTATION

NEAR THE END OF THE RATING PERIOD:

- The Ratee lists his/her accomplishments in Part IVc of the Support Form. Accomplishments may be continued on a separate sheet if more space is needed.

- The completed Support Form accompanies the performance evaluation to each Rater.

- The Raters consider this information when preparing the performance evaluation.

- At the end of the rating period, the Support Form or the performance plan portion of the ICD is attached to the Evaluation Report and submitted to the Civilian Personnel Office for processing and filing.

c LIST YOUR SIGNIFICANT CONTRIBUTIONS

o Revised/disseminated Warehouse Inspection Procedures - Feb 92

o Represented two activities in litigation--CNAMT or contractor default and USATT in fire damage caused by lightning. Government prevailed in both; total cost avoided: $35,000.

o Safety Inspection Checklist reduced costs due to personnel/equipment damage by $25,000.

o 1300 of 3700 commercial warehouse inventories completed. Reviewed 57 on - site and paper-audited the remainder.

o Direct Procurement Contracting briefing at Jan 92 Symposium brought international acclaim.

o SOP for Personal Property Movement and Storage in SWA enabled US to develop offensive posture early on.

o Removed poor performer after Opportunity to Improve; upheld by MSPB.

o Converted GS-11 slot to support Upward Mobility Program (UMP); selected employee at GS-5 level. Awarded 12 employees for performance. Sent 5 employees to technical training and nominated GS-12 for long-term training.

o Reorganized from 3 to 2 Sections, realigning operations and reducing manpower requirements by 4 spaces.

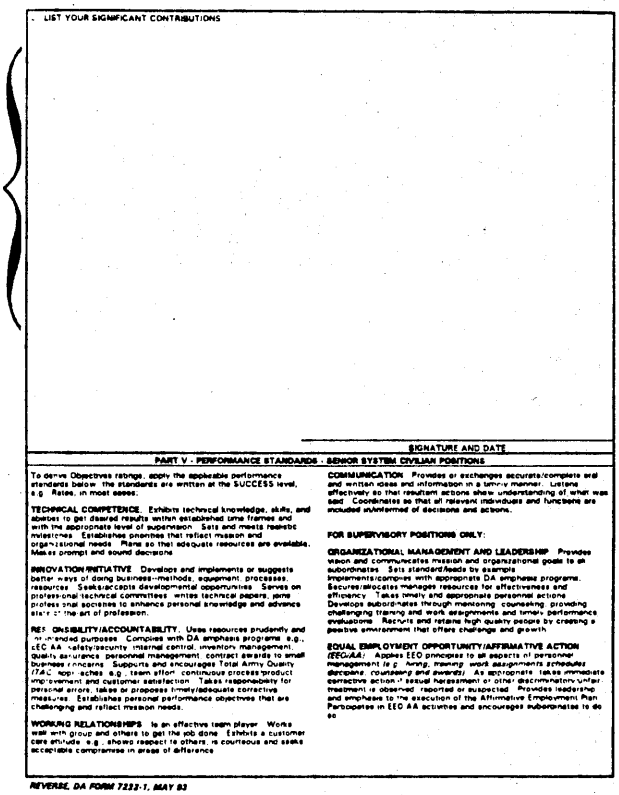
o Awarded MCSA for bravery in Bolivia.

o Selected for AMSC.

Melvin O. Davis 6/30/92
SIGNATURE AND DATE

PART IVc

- *Ratee lists major accomplishments*



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. Rates, in most cases.

TECHNICAL COMPETENCE. Exhibits technical knowledge, ability, and aptitude to get assigned 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/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, manning, 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.

REVERSE, DA FORM 7222-1, MAY 83

PART V

- *Defines DA-wide performance standards*

SENIOR SYSTEM EVALUATION REPORT

NOTE: TO BE COMPLETED AND A COPY SUBMITTED TO THE PERSONNEL OFFICE FOR FILING WITHIN 45 DAYS FROM THE END OF THE RATING PERIOD.

- PART I - ADMINISTRATIVE

Identifies the Ratee and the rating period.

- PART II - AUTHENTICATION

- Listed in correct signing sequence--Rater, Intermediate Rater (optional), Senior Rater, and then the Ratee.

- PART III - SES SALARY INCREASE/BONUS AND SL, ST, GM, GS, WS PERFORMANCE AWARD/QSI NOMINATION AND APPROVAL.

Replaces the DA Form 1256 for recording/processing performance-related awards (and salary increases for SES). Only the front page of the Evaluation Report, with the fund cite recorded, is sent to the Finance Office in accordance with local procedures.

- For SES, recommendations are made by Rater and Intermediate Rater (optional) and forwarded to the Performance Review Board (PRB). The PRB reviews and makes a recommendation to the Senior Rater or his/her designee for approval. (Refer to the AR 690-900, Chapter 920)

- For ST, SL, GM, GS, WS Performance Award or QSI:

--Rater nominates the Ratee for a Performance Award/QSI by making an extra copy of Page 1 of the Evaluation Report Form with parts I, II, IV and V completed, completing part III on the copy and submitting it with the Evaluation Report through the rating chain to the awards approver. No award information is contained on the original (employee) or official record copy of the completed Evaluation Report.

--If nomination is for a Performance Award, Rater completes proposed percent of salary and/or proposed dollar amount. The awards approver either approves, modifies or disapproves. If he/she disapproves the award, the nomination should be returned (with verbal or written explanation) through the rating chain to the Rater.

--If nomination is for a QSI (only GS employees rated at Successful Level 1 are eligible), the Rater completes the current grade and the step to which the Ratee will progress; the approver concurs by signing and dating.

- The Ratee should not be told about the award until it has been approved through all channels.

SENIOR SYSTEM CIVILIAN EVALUATION REPORT

For use of this form see AR 690-400; the proponent agency is DCSPER

PART I - ADMINISTRATIVE DATA

a. NAME (Last, First, Middle Initial)	b. SOCIAL SECURITY NUMBER	c. POSITION TITLE, PAY PLAN, SERIES AND GRADE
DAVIS, MELVIN O.	113-24-5678	Chief, Oper. Sect., PD #1243 GS-2130-12

d. ORGANIZATION: Operations & Quality Assurance Division, MNUC, Aberdeen MD 27180

e. REASON FOR SUBMISSION: [X] ANNUAL [ ] SPECIAL [ ] INTERN

f. PERIOD COVERED (YYMMDD)		g. RATED MONTHS	h. RATEE COPY (Check one and date)		
FROM 910701	THRU 920630	12	X GIVEN TO RATEE		FORWARDED TO RATEE 7/30/92

PART II - AUTHENTICATION

a. NAME OF RATER (Last First Middle Initial)	SIGNATURE	DATE
YOUNG, KEM	Kem Young	7/5/92

GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT: GM-13, Chief, Operations and Quality Assurance Branch

b. NAME OF INTERMEDIATE RATER (Optional) (Last First MI)	SIGNATURE	DATE
SIMPSON, SAM O.		

GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT: GM-14, Chief, Quality Control Division

c. NAME OF SENIOR RATER (Last First Middle Initial)	SIGNATURE	DATE
BROWN, HEATHER D.		

GRADE/RANK, ORGANIZATION, DUTY ASSIGNMENT: GM-15, Executive Officer, MNUC

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

PART III

a. SES - AWARD, BONUS, SALARY INCREASE	RECOMMENDATIONS				
	RATING (1)	SALARY (2)		PERFORMANCE AWARD - BONUS (3)	
		YES	NO	YES	NO
RECOMMENDING OFFICIALS					
RATER					
INTERMEDIATE RATER					
PERFORMANCE REVIEW BOARD					
SENIOR RATER		ES		$	

b. ST, SL, GM, GS, WS - PERFORMANCE AWARD/QUALITY STEP INCREASE

PERFORMANCE AWARD

PERCENT OF SALARY 1.5 AMOUNT $615.00

QSI (GS with Successful Level 1 Rating Only) TO (Grade/Step)

AWARD APPROVED BY Heather D. Brown

DATE (YYMMDD) 92-7-24 FUND CITE ALK003215

PART I

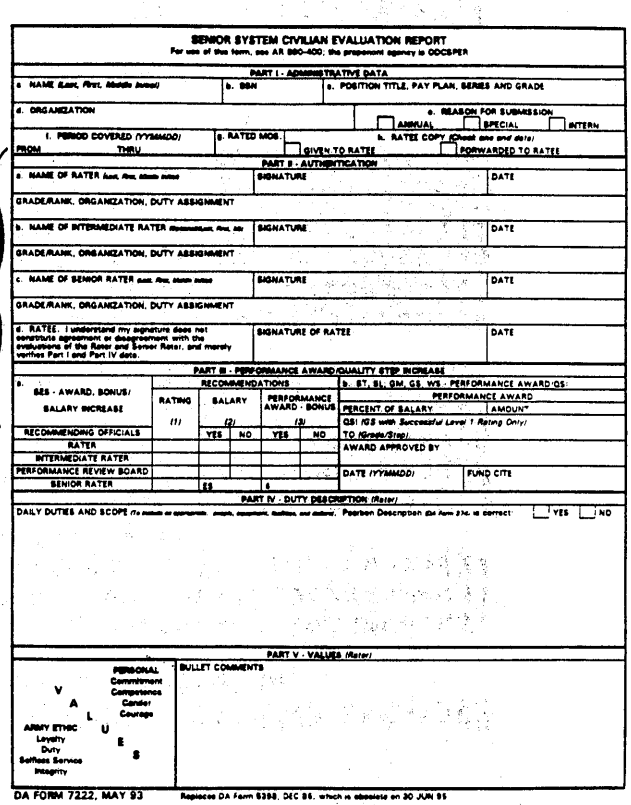
- *Identifies Ratee & rating period*

PART II

- *Authenticates rating chain*

PART III

- *GM, GS, WS, ST, SL performance awards*
- *GS QSIs*
- *SES bonus & pay increase*



SENIOR SYSTEM EVALUATION REPORT

• PART IV - DUTY DESCRIPTION

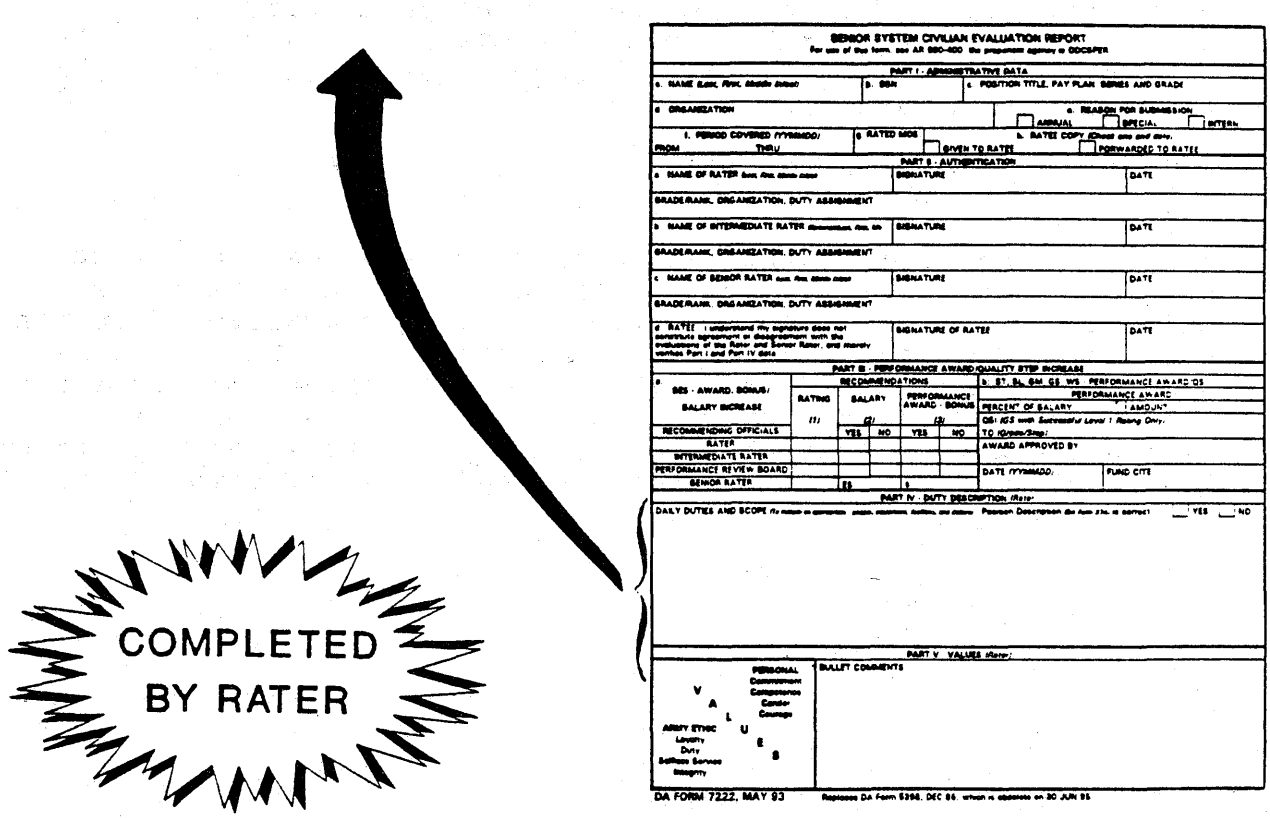
• **Position Description Review.** Rater and Ratee review the Ratee's official position description (DA Form 374 or the ICD) and check whether or not it describes major duties of the position. If "no" is checked, a copy of that portion of the evaluation should go to the position classifier in the Civilian Personnel Office (or the Rater should begin corrective action) in accordance with local procedures.

• **Duty Description.** A summary of the most important duties and responsibilities performed by the Ratee that are critical to mission accomplishment--usually summarized from the position description and copied from the Support Form. If the Ratee is a supervisor, information should include the numbers and types of resources the Ratee manages. Gives users of the evaluation form a complete picture of the Ratee's position in the organization and the types of duties and level of responsibility involved.

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

Supervises personnel and activities of Operations Branch. Directs program areas to include standardizing field operations, evaluating warehouse facilities and promoting improvements; overseeing contract administration; and protecting government interests in defaults and disasters. Monitors ROA and SIT Programs. Standardizes storage operations for ± 3700 commercial warehouses. Chairs Defense Subcommittee for Personal Property, establishing procedures and monitoring worldwide. Investigates and recommends solutions for worldwide traffic crisis. Performs total range of personnel management for 23 subordinates--hiring, leading, developing, evaluating, awarding, disciplining, etc. Manages annual non-labor budget which is in excess of $85K.



- *Certify Position Description accuracy*
- *Summarized Duty Description*
- *Copied from Support Form*

SENIOR SYSTEM EVALUATION REPORT

• PART V - DA VALUES

• Discussion and assessment of values adherence is encouraged to instill the importance of these values to our Army corporate culture and to make that discussion a matter of record. This section is not used in the formula to derive the Overall Performance Rating. **[Read page 50 for additional guidance on the use of the values block.]**

• Written comments should be in "bullet" format describing specific examples, results or general behavior. Bullets are:

- Short, concise descriptions of performance/work related behavior that do not have to reflect specific examples or results; e.g. "Shows high level of duty/selfless service in all actions."

- One, no more than two, lines per bullet.

- Double spaced between bullets.

PERSONAL VALUES

COMMITMENT - Willingly, consistently carrying out goals of the organization, the Army and the nation. Excellence driven. Customer focused. "Going the extra mile"

COMPETENCE - Obtaining, maintaining and applying knowledge, skills and abilities to do the job right. "Giving your best, nothing less"

CANDOR - Being frank, open, honest and sincere. "Telling the truth"

COURAGE - Facing and accepting challenges. Standing up for what you believe is right. "Undaunted by personal fears"

ARMY ETHIC

LOYALTY - Willingly, consistently supporting the organization and its people. "Always faithful"

DUTY - Acting through a personal sense of obligation to the organization, the Army and the nation. "Doing what's needed because you want to"

SELFLESS SERVICE - Putting needs of the organization above personal advantage and self-serving interests. "Mission first"

INTEGRITY - Living within the spirit as well as the word of the "law"; avoiding deception. "Word is bond"

EXAMPLES OF ADHERENCE

Refusing shortcut that would give adequate but not high quality product.

Admitting to personal judgment error before it causes problems.

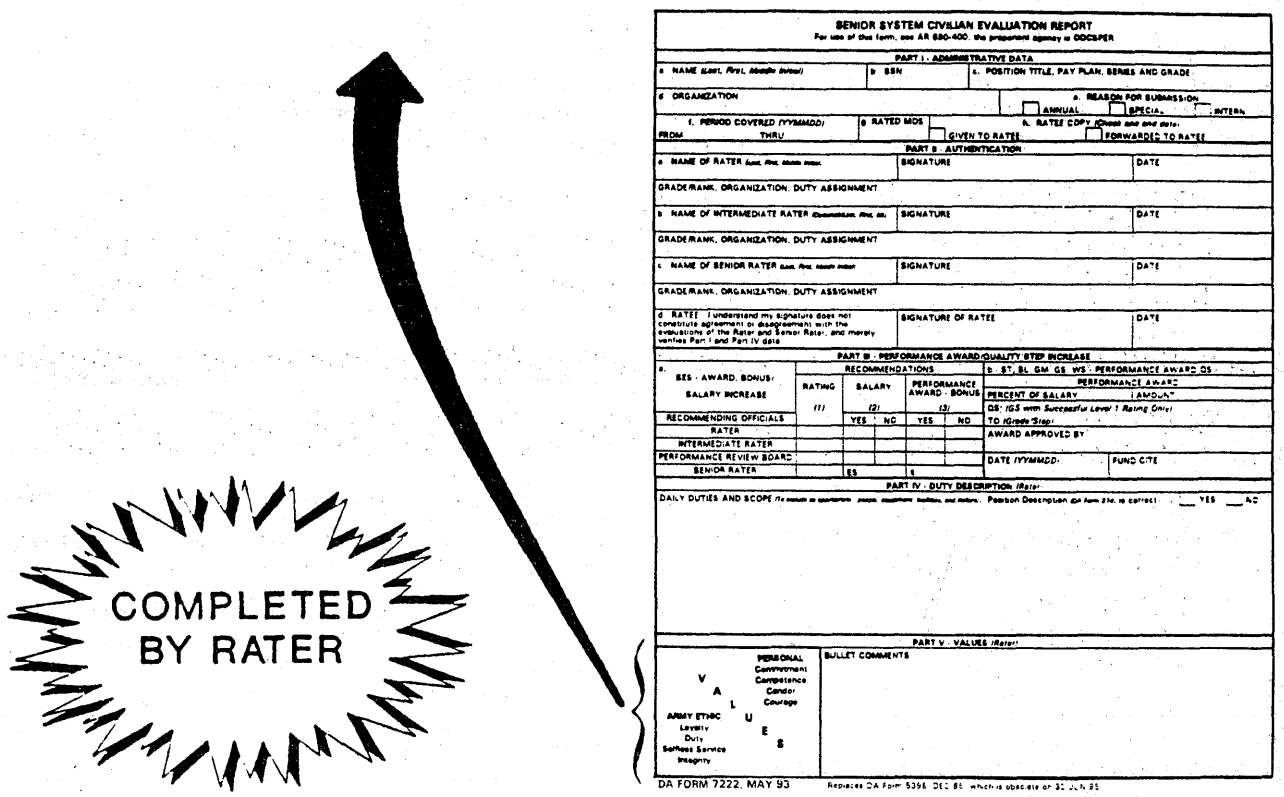
Cancelling scheduled leave to ensure project completed on schedule.

Taking night course to update skills needed for future project.

Giving the Commander "bad" news he/she needs but may not want to hear.

PART V - VALUES *(Rater)*	
V A L U E S **ARMY ETHIC** Loyalty Duty Selfless Service Integrity **PERSONAL** Commitment Competence Candor Courage	BULLET COMMENTS o Loyalty and selfless service are unparalleled. Consistently puts mission needs at top of priority list. o Courage during Bolivia disaster earned him well-deserved Meritorious Civilian Service Award. o Never says no to opportunity to serve as ambassador for MNUC.

DA FORM 7222, MAY 93 Replaces DA Form 5398, DEC 86, which is obsolete on 30 JUN 95



- *DA Values*
- *Bullet narrative - encouraged but not mandatory*
- *Not used in formula to derive Overall Performance Rating*

SENIOR SYSTEM EVALUATION REPORT

• PART VI - THE RATER:

• Decides which Objectives will be rated. (NOTE: Some Objectives will not be completed or attempted for various reasons; e.g. changed priorities, reduced funds, lack of time.) These Objectives can be omitted or carried forward to the next rating period. If progress was made but the task not completed for reasons beyond the Ratee's control or by mutual agreement, the Rater may evaluate only the completed portion. A lower rating should be given if the Ratee's deficiency caused the Objective not to be accomplished. Failure to accomplish a portion of an Objective (e.g. an Objective composed of numerous sub-objectives) does not require the Rater to assign a rating below SUCCESS for the Objective.

• Determines which standards relate to the Objective being rated and applies the appropriate standards; e.g. Revising Warehouse Inspection Procedures might involve standards describing Technical Competence, Communication and Innovation.

• Rates each Objective using the following criteria: (records objectives rating by each Objective on Support Form)

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.

• Writes bullet examples of achievements:

- Examples are required for Objectives rated below Success, and those rated Excellence insofar as space permits. Examples are encouraged for Objectives rated Success.

- Examples are specific, observable results; to-the-point statements of actual accomplishments.

• Forwards Evaluation and Support Forms to the next-level for review and/or approval.

• For SES, initial ratings are discussed with the Ratee who may provide written comments and/or request higher level review. Forwards initial rating to the Intermediate Rater or to the PRB. [Refer to AR 690-900, Chapter 920]

PERIOD COVERED (YYMMDD)	RATEE S NAME	SSN
910701 - 920630	Davis, Melvin O.	113-24-5678

PART VI - PERFORMANCE EVALUATION *(Rater)*

a. PERFORMANCE DURING THIS RATING PERIOD

Comparison of individual objectives against accomplishments and DA-established performance standards resulted in the following objectives ratings:

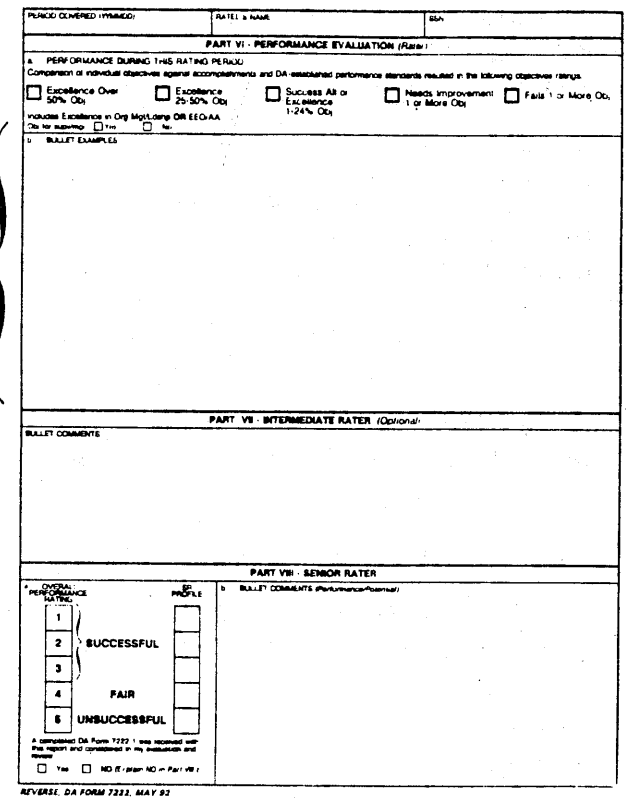
☐ Excellence Over 50% Obj ☒ Excellence 25-50% Obj ☐ Success All or Excellence 1-24% Obj ☐ Needs Improvement 1 or More Obj ☐ Fails 1 or More Obj

Includes Excellence in Org Mgt/Ldshp **OR** EEO/AA Obj for supv/mgr ☒ Yes ☐ No

b BULLET EXAMPLES

- o Revised warehouse inspection procedures; identified 20% as unserviceable; shifted goods to alternate sites for cost avoidance in potential property damage of $80K.
- o Technical expertise in two court cases resulted in Government's prevailing, for cost avoidance of $35K.
- o 1200 warehouse inventories completed; projected result after total inventory is reduction in storage space of at least 150 facilities.
- o Exceeded Branch EEO/AA goals in recruiting, training, and awarding--enabling Division to exceed its goals.
- o Safety Checklist for Warehousing reduced last year's costs in personnel/equipment damage by $14K.
- o Direct Procurement Contracting briefing at Traffic Management Specialists Symposium published in four international trade journals.
- o Removed poor performer; upheld by MSPB.

COMPLETED BY RATER



- *Rater assigns Objectives Ratings*
- *Rater provides bullet examples of specific contributions*

HOW RATER DERIVES OBJECTIVES RATING USING PERFORMANCE STANDARDS

EXAMPLE: SUPV TRANSPORTATION SPECIALIST, GM-2130-13

(1) SELECTS OBJECTIVE TO BE RATED

e.g. Revised Inspection Procedures for Warehouses NLT 3/92. Was Objective completed or should it have been? If so,

(2) IDENTIFIES APPLICABLE PERFORMANCE STANDARDS

What was involved in completing this Objective?
- competence in technical area,
- planning work flow to meet deadlines,
- thorough coordination; or
- innovation?

(3) APPLIES PERFORMANCE STANDARDS

How often did Ratee do better than, as well as, not as well as "Success" level described by applicable standards and the Objective?

(4) ASSIGNS OBJECTIVE RATING

REPEATS PROCEDURE UNTIL HE/SHE HAS RATED ALL OBJECTIVES THAT EITHER WERE OR SHOULD HAVE BEEN COMPLETED DURING RATING PERIOD.

NOTE: Managerial/supervisory Ratees must be rated "Excellence" in 25% or more of their objectives (including those for Org. Management/Leadership OR EEO/AA) in order to receive an Overall Performance Rating above Successful Level 3.

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.

START

SELECT OBJECTIVES

- o Discard those overcome by events
- o May include Objectives only partially completed

APPLY PERFORMANCE STANDARDS

- ✓ Technical competence?
- ✓ Communication?
- ✓ Innovation?

RATE OBJECTIVES

- ✓ Process
- ✓ Results

Excellence, Success, Needs Improvement or Fails

ANNOTATE OBJECTIVES RATINGS ON SUPPORT FORM

b. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES/INDIVIDUAL PERFORMANCE STANDARDS

- o E Prepare/present briefing on direct procurement contracting at ~~Jan 91 Worldwide Symposium~~ Orlando repeat of Traffic Management Specialties.
- o S Develop automated tracking system for status/results of contractor default actions.
- o E Lead/supervise personnel
  - Timely counsel subordinates and evaluate performance. 11/2 all appraisals completed in 30 days
  - Place weak performer in Opportunity to Improve Period-NLT 30 Sep 91. removal effected March 92
  - Complete Training Needs Survey NLT Oct 91.
- o S Support EEO/Affirmative Action
  - Complete Branch Affirmative Employment Plan Annex NLT 30 Nov 91.
  - Convert two GS-11 vacant positions to Upward Mobility, GS-5 to GS-11. only 1 converted
  - Nominate two subordinates to (1) serve on FWP Committee and (2) be an EEO Counselor. Charlie Adams Sheila Crapo

Expend awards budget - $8,000.
~~Apply for AMSC~~ - selected to attend Fall 92
Find new warehouse location to replace the 3 in Guam & Puerto Rico that are unserviceable.

DA FORM 7222-1, MAY 93 Replaces DA Form 5397, DEC 86, which is obsolete on 31 DEC 94

REPEAT PROCESS WITH ALL RATED OBJECTIVES

TOTAL OBJECTIVES RATINGS AND CHECK APPROPRIATE BLOCK

PERIOD COVERED (YYMMDD)	RATEE'S NAME	SSN
910701 - 920630	Davis, Melvin O.	113-24-5678

PART VI - PERFORMANCE EVALUATION (Rater)

a. PERFORMANCE DURING THE RATING PERIOD
Comparison of individual objectives and most accomplishments and DA-established performance standards resulted in the following objectives ratings:

- ☐ Excellence Over 50% Obj
- ☒ Excellence 25-50% Obj
- ☐ Success All or Excellence 1-24% Obj
- ☐ Needs Improvement 1 or More Obj
- ☐ Fails 1 or More Obj

Includes Excellence in Org Mgt/Ldshp OR EEO/AA Obj for supvr/mgr ☒ Yes ☐ No

SENIOR SYSTEM EVALUATION REPORT

• PART VII - THE INTERMEDIATE RATER:

• The Intermediate Rater is a supervisor in the Ratee's rating chain between the Rater and Senior Rater. The use of the Intermediate Rater is intended to maintain the link between the Rater and Senior Rater in situations where there is a level of supervision between them. Rating chains having no supervisor between the Rater and Senior Rater will not have an Intermediate Rater.

• Reviews the Support Form and the Objectives ratings assigned by the Rater.

• Considers personal knowledge/observations of Ratee's performance and achievements.

• If concurs with Rater's ratings, makes bullet comments about Ratee's performance and signs/dates appropriate block.

- Comments can describe overall performance rather than specific examples as required of the Rater.

• If nonconcurs,

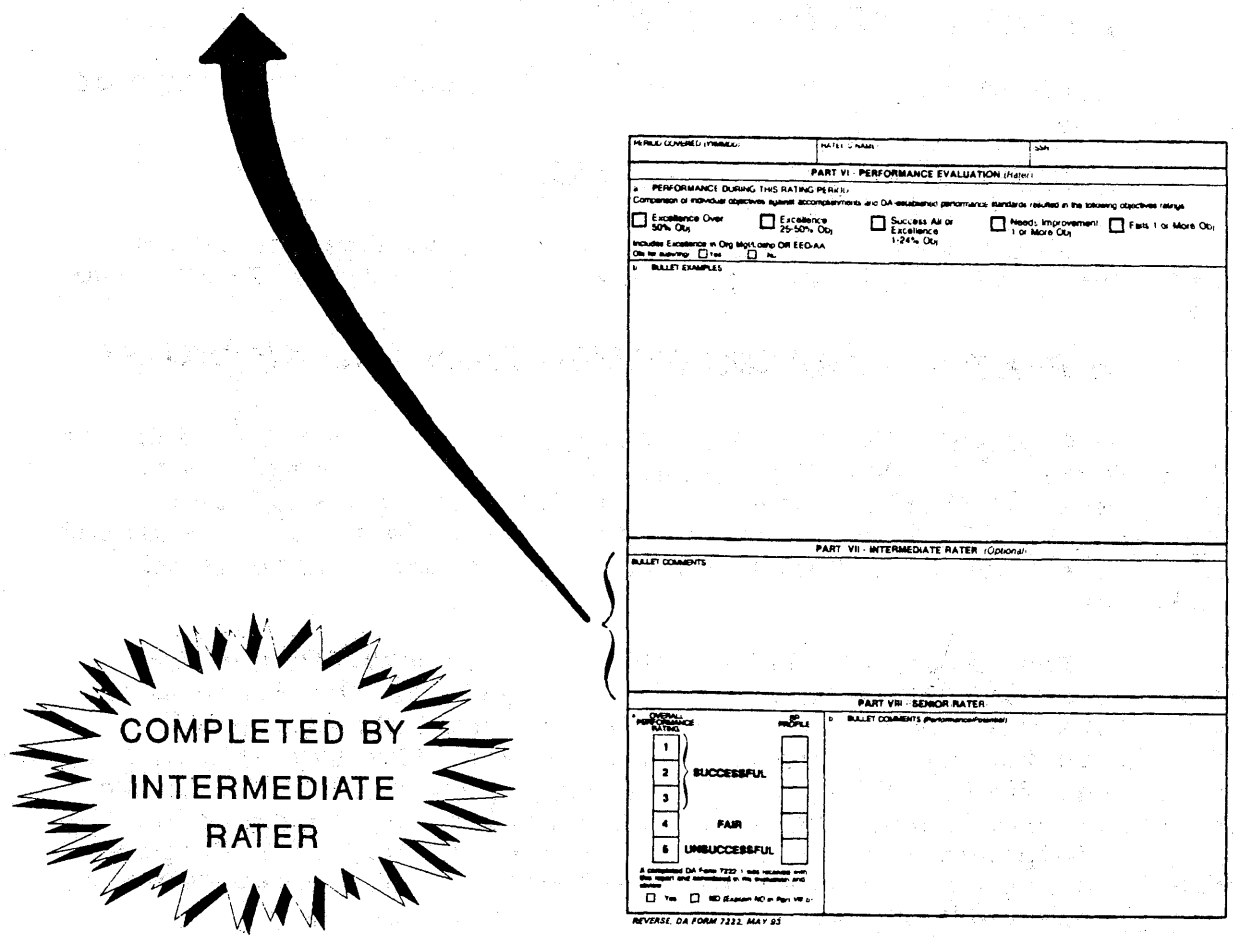
- Seeks resolution with Rater.

- If unsuccessful, presents areas of disagreement and examples of performance that led to disagreement to Senior Rater for adjudication.

- Signs/dates appropriate block and forwards Evaluation and Support Forms to Senior Rater.

• For SES, forwards initial rating to PRB.

PART VII - INTERMEDIATE RATER *(Optional)*
BULLET COMMENTS
o Astute negotiations skills and culture sensitivity progressed negotiations for warehouses in Italy at amazing speed.
o Close control of carefully projected Branch budget resulted in 98% expenditures of funds.
o Sets example for all by supporting EEO and mentoring/developing subordinates.



- *Reviews Objectives Ratings/examples*
- *Makes bullet comments on performance*

SENIOR SYSTEM EVALUATION REPORT

• PART VIII - SENIOR RATER

• Reviews the Support Form and Objectives ratings. If in agreement with subordinate Raters, checks appropriate Overall Performance Rating block and provides bullet comments--both on Ratee's overall performance and on Ratee's potential to perform different and/or higher level work.

• If in disagreement with subordinate Raters, attempts to resolve disagreement through discussion/negotiation. If disagreement is not resolved, directs or makes necessary changes to Objectives ratings and comments/examples. Checks appropriate Overall Performance Rating block and provides bullet comments on Ratee's performance and potential.

• Tabulates annual performance ratings he/she assigns to all Ratees at the same grade (e.g. GS-12) for the current rating period and records the totals in the blocks provided (opposite the rating blocks). [Special Ratings are not included in the profile. Annual Ratings rendered early should be included; those completed late (e.g. due to an approved extension of a rating period) should be included in the Profile for the next rating year.] The profile provides users with additional information in that it places each specific evaluation in perspective from the standpoint of how the senior rater normally evaluates ratees of the same grade.

• Signs/dates the Evaluation Report and returns it with the Support Form to the Rater for discussion with/signature of the Ratee.

• **OVERALL PERFORMANCE RATING DEFINITIONS**

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.)

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) and SUCCESS in others. (This is Level 4 in 5 CFR 430.)

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.)

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 in 5 CFR 430.)

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.)

PART VIII - SENIOR RATER

a OVERALL PERFORMANCE RATING / SR PROFILE

		SR PROFILE
1	SUCCESSFUL	2
X	SUCCESSFUL	4
3	SUCCESSFUL	4
4	FAIR	
5	UNSUCCESSFUL	

A completed DA Form 7222-1 was received with this report and considered in my evaluation and review

☒ Yes ☐ NO *(Explain NO in Part VIII b)*

b BULLET COMMENTS *(Performance/Potential)*

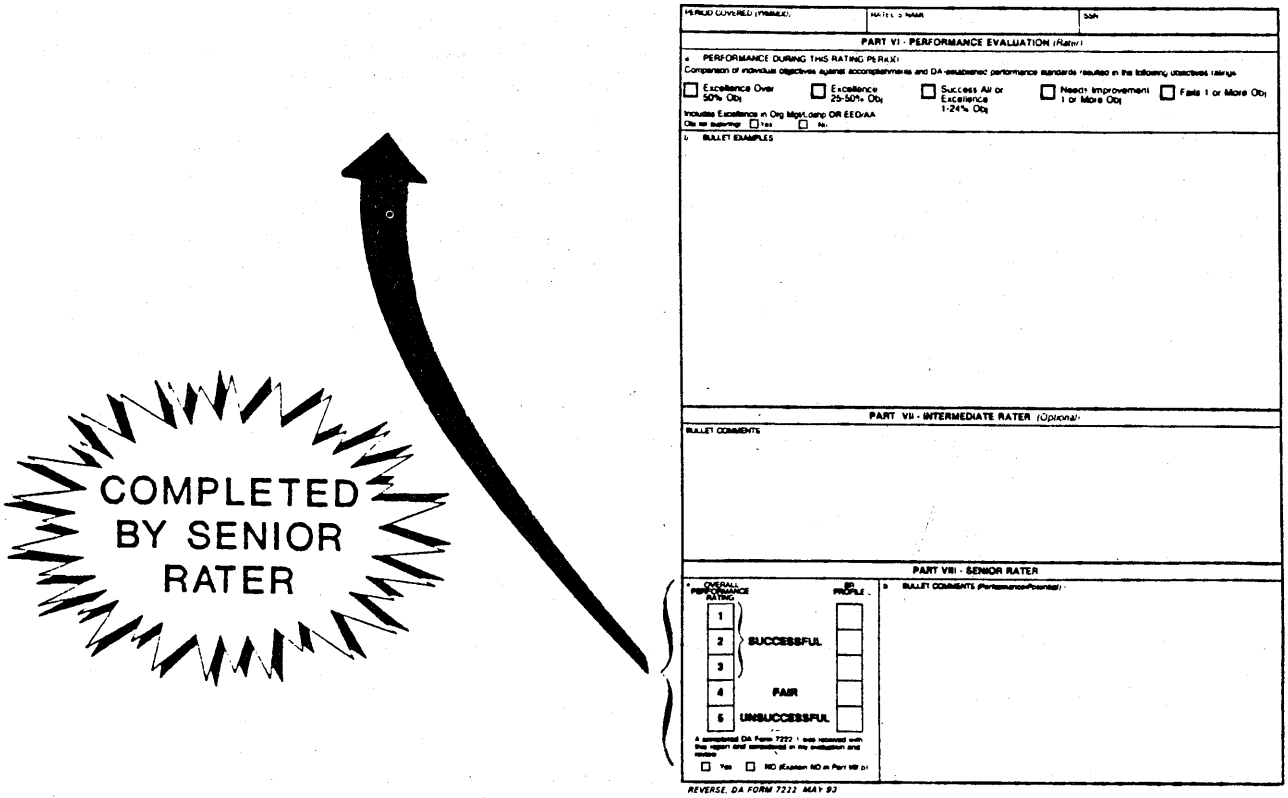
o Hard charging, professional role model.

o Contributed significantly to US defensive posture in mid-East.

o Well deserved selection to attend AMSC.

o High potential individual; should become a senior leader in DA.

REVERSE, DA FORM 7222, MAY 93



- *Reviews Objectives Ratings/examples*
- *If concurs, assigns Overall Performance Rating*
- *If nonconcurs, makes adjustments*
- *Makes bullet comments - performance/potential*

DA ETHICS AND PERSONAL VALUES

- Values and ethics lie at the foundation of our nation and our Army culture. We first committed to these values and ethics when we joined the Army team, by taking our oaths of office before the American flag.

- TAPES brings values and ethics into focus by listing them and encouraging Rater/Ratee exchange of ideas about what they mean and what types of actions show support.

- TAPES views values and ethics adherence as an enhancement, complement, or addition to performance. Values do not replace performance nor are they formal elements of performance.

- Raters should use the values block to list ways in which Ratees show their commitment to DA values and ethics.

- Raters must avoid misusing this block. Examples of misuse are questioning the loyalty of a Ratee who filed a complaint, criticizing the dedication of a Ratee who could not work overtime for personal reasons, or documenting behavioral problems that should be corrected through procedures for misconduct.

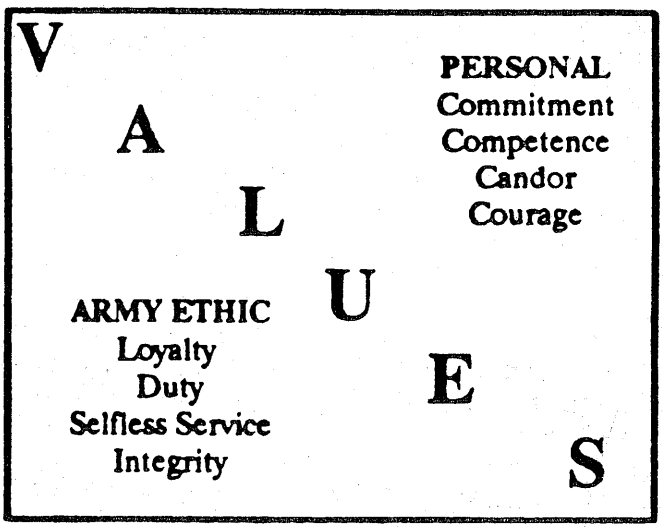
- Your Civilian Personnel Office can advise you if you have any doubt about what type comments to include in this block.

- Just remember, the intent of this section is to allow you to document positive aspects of the Ratee's contributions that do not necessarily result in work output. It is also intended to foster communication about different perceptions of what values mean to facilitate mutual understanding and respect. So used, it will put a positive spin on the Rater/Ratee partnership and on the Ratee's appreciation of and commitment to DA values and ethics.

OATH OF OFFICE

(OFFICERS AND ARMY CIVILIANS)

"I DO SOLEMNLY SWEAR (OR AFFIRM) THAT I WILL **SUPPORT AND DEFEND THE CONSTITUTION OF THE UNITED STATES** AGAINST ALL ENEMIES, FOREIGN AND DOMESTIC; THAT I WILL BEAR TRUE FAITH AND ALLEGIANCE TO THE SAME; THAT I TAKE THIS OBLIGATION FREELY, WITHOUT ANY MENTAL RESERVATION OR PURPOSE OF EVASION; AND THAT I WILL WELL AND FAITHFULLY DISCHARGE THE DUTIES OF THE OFFICE UPON WHICH I AM ABOUT TO ENTER. SO HELP ME GOD."



RATERS:

- *Discuss Ethics and Values with Ratee*
- *Think positively, use as a plus*
- *Develop understanding and commitment*

EEO/AFFIRMATIVE ACTION OBLIGATIONS FOR SUPERVISORS

• With the implementation of TAPES, accountability for improvement becomes the key to EEO success. EEO/Affirmative Action remains a critical requirement for all supervisors and non-supervisory management officials whose program areas or assigned duties may influence the achievement of program goals and objectives. All supervisors/managers are accountable for establishing and striving to meet and exceed specific EEO objectives that include appropriate Affirmative Action to correct deficiencies to achieve true equal employment opportunity.

• Of the many persons who are actively and effectively working toward the goal of EEO, supervisors/managers have the key responsibility and perhaps the greatest influence. They must be creative and aggressive in finding ways to provide qualified individuals the opportunities to join an Army team and enjoy a productive environment. They must be active participants in finding ways to achieve Army's EEO goals and objectives. Their responsibilities extend beyond employment selection decisions. All actions affecting Army's employees or potential employees are an integral part of management's EEO responsibilities. The following are examples of the types of activities supervisors/managers can pursue to respond to the challenges of EEO/AA in our downsizing environment:

- Establish or strive to meet and exceed realistic, responsive EEO/AA goals and objectives in all areas of employment that reflect mission, work unit, community, and individual needs.
- Use available programs to support EEO/AA: Use Special Employment programs, especially those that reach people with disabilities; ensure all employees, including women and minorities, receive equal opportunity for career advancing work and training; mentor and advise high potential individuals, including women and minorities, who have historically been excluded from traditional networks; consider flexible work schedules and job sharing; provide equal opportunity in awards, overtime and desirable work shifts, travel, etc.; make recruitment visits to high schools and colleges and attend Career Day activities.
- Take quick action to fix problems. Correct situations that create an unhealthy environment or adversely impact morale. Take quick action if you hear of or otherwise suspect any discriminatory treatment, to include sexual harrassment.
- Support commemorative functions. Attend and send subordinates to programs sponsored by and for protected groups (women, minorities, and persons with disabilities) attend or participate in local community activities that facilitate EEO/AA--e.g. civic clubs, women clubs, children's support groups; etc.
- Involve subordinates in the effort. Allow them to serve on committees and councils that foster increased understanding of cultural differences and equal opportunity.

EEO OBLIGATIONS

- Establish Objectives which achieve true Equal Employment Opportunity/Correct deficiencies
- Support EEO/AA Special Emphasis Programs
- Take quick action to correct discriminatory treatment/situations
- Support commemorative functions
- Encourage subordinates to become involved

LEADERSHIP OBLIGATIONS OF PERFORMANCE MANAGEMENT

• Performance management is about communicating values and expectations, developing and mentoring, reinforcing good performance, and correcting problems. All involved should adhere to the rules of open and timely performance related communication. Here are suggestions for creating a meaningful, constructive process:

RATER SHOULD:

• Talk with Ratees. For example,

- Explain organizational mission and what role each Ratee has in accomplishing goals/mission.
- Discuss special emphasis and high priority areas for the upcoming rating period and how they impact on the Ratee's responsibilities.
- Develop, explain and document specific performance expectations for the rating period--what needs to be done? how? when? with what? (In the Senior System, Raters might share their own Support Forms with Ratees.)
- Tell Ratees how they are doing during the rating period. If they perform well, say so to reinforce the positive directions. If they are not, let them know immediately so they can get back on track. Constructive criticism is vital to good leadership and Ratee professional development.

• Listen to Ratees. For example,

- Learn how Ratees think the job should be done. Do they have ideas for better ways of doing business? Do they have adequate resources; enough or too much guidance?
- Allow Ratees to express how well they think they are doing. If their ideas differ from yours, talk about it. They may have information you don't have. If not, they need to understand what you want and how they can achieve the desired results using the right procedures.
- Hear what Ratees expect in their careers. Do they want to advance in their current fields? Is that possible in your organization? If not, can you suggest alternatives?
- Discover if Ratees believe they need training to do their jobs better--or would they like to learn new skills to contribute more, or differently? If the training is available, would it enhance your work accomplishment to see that they receive it?

• Provide Ratees with timely performance evaluations that reflect specific accomplishments and information you have shared with them throughout the rating period.

RATERS

- *Let Ratee know who will evaluate*
- *Explain Ratee's role in organizational mission*
- *DETAIL WHAT IS EXPECTED FOR SUCCESS*
- *TELL RATEE EXACTLY HOW HE/SHE IS DOING*
- *Get feedback from Ratee on perceptions, ideas, goals, values*
- *Review Ratee training needs*
- *Discuss career expectations*
- *Give a timely performance evaluation*

BENEFITS

- *BETTER PERFORMANCE/MOTIVATION/MORALE*
- *ENHANCED MISSION ACCOMPLISHMENT*
- *RATER/RATEE PARTNERSHIP*
- *LESS MISUNDERSTANDING/FORMAL COMPLAINTS*

ROLE OF THE RATEE

• Raters and Ratees are partners in the performance management process. Both are responsible for creating and maintaining the open dialogue necessary for effective working relations and top level performance. Here are some suggestions for Ratees:

- Be thoroughly familiar with your role in the organization and how your work contributes to meeting organizational goals and objectives.

- Discuss performance requirements (standards and/or objectives) to be clear on what is expected for successful performance. While agreement is the ideal, understanding is the goal.

- Give your ideas about DA values and what type of activities show support.

- Tell the Rater about stumbling blocks to getting the job done. Share ideas for getting the job done better.

- Let the Rater know about your training needs. Ensure approved training requirements are documented on your Individual Development Plan (IDP).

- Periodically do a self-evaluation against performance standards/objectives. Share this evaluation with the Rater during counseling sessions. If this evaluation doesn't match that of the Rater, find out why.

- Listen/keep an open mind to the Rater's assessmenet of performance. If there are some areas in need of improvement, find out what is expected and how you can achieve it.

- Discuss career goals with the Rater. Ask about the possibility of developmental assignments. Consider enrolling in self-study programs.

- Don't hesitate to be the first one to request some time to discuss performance---Remember, it's far more important to have the talk than to put it off waiting for the "right" person to initiate it.

RATEES

- Know your job and how it helps meet the mission
- Understand what is needed to perform successfully
- Discuss the meaning of DA Values/How to show support
- Share ideas for improvement
- Inform Rater if training is needed
- Continually self-evaluate/Learn from Rater's evaluation
- Discuss career goals with the Rater/Assume personal responsibility for reaching them

BENEFITS

- CLEARER PICTURE OF EXPECTATIONS
- IMPROVED RATER/RATEE RELATIONSHIP
- BETTER OPPORTUNITY TO EXCEL AND GROW

DEALING WITH INDIVIDUAL PERFORMANCE PROBLEMS

• TAPES is designed for the vast majority of Army civilians who are good performers--who have the skills and willingness to do their jobs and who need only organizational mission/goals direction to be successful. However, occasional exceptions make addressing performance deficiencies and taking performance based actions important aspects of sound performance management.

• The facing page references provide specific instructions for dealing with instances of deficient performance. Your Civilian Personnel Office representatives will assist you in applying the procedures. This section presents limited discussion to help you decide if the performance requirements you establish routinely are sufficient to deal with a performance problem and/or withstand scrutiny of third party review.

• Law (5 USC 4302) requires performance standards which "to the maximum extent feasible" permit accurate evaluation of job performance on the basis on objective criteria. Many interpreted this to mean that standards had to be numerical and thus overemphasized numbers. The Office of Personnel Management now advises that while performance standards should be as objective as possible, they should not replace management judgement. Courts have said that a proper measure to judge if a standard is sufficient is whether most people would understand what it means and what it requires.

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

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

PERFORMANCE STANDARDS

- TAPES generic standards coupled with the Position Description and organizational goals along with proper counseling will suffice for evaluation of most employees.

- For Performance Problems, supplementation (greater detail, more specificity, more frequent documented counseling) may be necessary.

- Standards must:

  o Be reasonably attainable
  o Not be improperly absolute (must be able to be exceeded)
  o Tell clearly what is required for success and permit accurate measurement of performance (To include what is required for "Needs Improvement" as well as for "Success" if you are rating a Responsibility or Objective "Fails")

REFERENCES

- *FPM Chapter 432*

- *AR 690-400, Chapter 4302*

By Order of the Secretary of the Army:

GORDON R. SULLIVAN
General, United States Army
Chief of Staff

Official:

MILTON H. HAMILTON
Administrative Assistant to the
Secretary of the Army

Distribution:

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