

233d BASE SUPPORT BATTALION

TOTAL ARMY

PERFORMANCE EVALUATION SYSTEM

HANDBOOK

“COMMUNITY OF CHOICE”

1 APRIL 02
QUESTIONS ON TOTAL ARMY PERFORMANCE EVALUATION SYSTEM SHOULD BE
DIRECTED TO THE S-1, 348-6253 OR THE EXECUTIVE OFFICER, 348-1510

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PREVIOUS EDITIONS OBSOLETE

TOTAL ARMY PERSONNEL EVALUATION SYSTEM (TAPES)

PURPOSE

To establish policy and procedures for submission of personnel evaluations under the Total Army Personnel Evaluation System (TAPES) within the 233d Base Support Battalion. The procedures contained in this handbook are command directed and will be followed during the planning, preparation and submission of both Base System and Senior System evaluations.

APPLICABILITY

This handbook is applicable to all personnel rated under TAPES who are employed by the 233d Base Support Battalion. Responsibility to comply with these procedures is mandatory for all supervisors, managers, directors, raters, senior raters and employees who are employed under GM, GS, WG, WL, or WS appropriated fund categories. Noncompliance will not be tolerated.

REFERENCES

AR 690-400, 16 Oct 98

USAREUR Electronic Handbook, 1 Dec 99

GENERAL

RATING CYCLES: The following rating cycles will be followed for annual appraisals:

(1) GS/GM -13 and Above and all SES: 1 Jul - 30 Jun

(2) GS/WS/WG - 9 through 12: 1 Nov - 31 Oct

(3) GS/WG/WL/WS - 6 through 8: 1 Feb - 31 Jan

(4) GS/WS/WG - 1 through 5: 1 May - 30 Apr

SUBMISSION DEADLINES: In all cases, annual appraisals must be completed and submitted through the 233d BSB S-1 in time that they may be provided to the Civilian Personnel Operation Center (CPOC) within 45 days from

the end date of the rating cycle for each category. Therefore, all annual evaluations must be turned in to the BSB S-1 **within 30 days** from the rating cycle end date.

MINIMUM RATING TIME: An employee must have been working under an approved performance plan for at least 120 days before they can receive a rating. If they have less than 120 days under an approved performance plan when the annual appraisal is due, they will not receive a rating. The following year, they will receive their rating, which will cover the full year period plus that period of time, which was, less than 120 days from the previous year's ending cycle date. Should the rater or ratee depart their position before the employee receives their annual rating, they may be given a special evaluation as long as they meet the minimum 120-day requirement. Guidance concerning special ratings is provided elsewhere in this handbook.

RATING SYSTEM CONCEPT: The concept of the rating system for both the base system and the senior system consists of three parts, each of which is documented on the appropriate form. The three parts consist of:

(1) Communication: Face to face discussion when developing performance plans/standards and duty description. This records the employees' expectations and responsibilities and establishes accountability while eliminating guesswork and assumptions.

(2) Reality Check: At a minimum, this is the mandatory mid point review, which provides feedback to the rated individual during the rating cycle. This is where deficiencies are noted and a plan for corrective actions is established where required.

(3) The Report Card: This is the actual evaluation of the employees' accomplishments in relation to his/her performance expectations. If everything else has been done correctly, there are no surprises for the employee and the employee has had the best opportunity to understand and meet his/her performance objectives.

PROCEDURES

BASE SYSTEM CIVILIAN EVALUATION REPORT (GS/WG/WL/WS 6 and Below)

The Base System consists of two documents, the DA Form 7223-1 (Performance Counseling Checklist/Record) and the DA Form 7223 (Evaluation Report), dated August 1998. Both forms are required to be completed.

(1) To properly begin the rating of each employee, follow the instructions on the DA Form 7223-1.

(2) Develop the employees' performance plan and performance standards using the position description, rating chain, counseling checklist and a blank DA Form 7223 (Evaluation Form). Be specific and inform the employee what is necessary for a "Success" rating and what is required to be considered for an "Excellence" rating.

(3) Performance standards are not effective until the date the Senior Rater has initialed and signed them. Therefore; it is mandatory that the performance plan/standards, which are developed and noted on the DA Form 7223-1, be initialed and dated by the Senior Rater.

(4) MID POINT COUNSELING: Mid point counseling is a ratee's right. Failure to properly conduct and initial (all parties) the mid point counseling may provide the basis for an employee to have an annual appraisal rescinded. Mid point counseling is mandatory and will be conducted face to face between the rater and the ratee and will be recorded on the DA Form 7223-1. Mid point counseling is where strong and weak points are identified to the employee and the employee is told where he/she stands and what can be done to improve weaknesses. This eliminates any surprise at the end of the rating cycle.

(5) The evaluation must be prepared in a timely manner, which will ensure that it can be processed through the BSB S-1's Office and presented to the CPOC within 45 days from the end of cycle date. Once an appraisal is completed and rater, senior rater and ratee have signed it, the original copy of the appraisal will be given to the rated individual. Two complete copies of the rating, to include the DA 7223-1, Performance Counseling Checklist /Record with the **Heidelberg CPAC Submission Checklist (Page 9)** is presented to the BSB S-1 Office **NLT 30 days** following the end of the rating cycle date to be forwarded to CPOC.

SENIOR SYSTEM CIVILIAN EVALUATION REPORTS (GS/WS/WG 7 and Above)

The Senior System Civilian Evaluation Report consists of two documents. The DA Form 7222-1 (Senior System Civilian Evaluation Report Support Form) and the DA Form 7222 (Senior System Civilian Evaluation Report), dated August 1998. Both forms are required to be completed.

(1) **DA Form 7222-1:** The support form is completed by the ratee in conjunction with a face-to-face discussion with the Rater. The front of the form, Parts I through IV (a and b) are completed within 30 days of the beginning of the rating cycle. This lists personal identification, rating chain, verification of face-to-face discussion, duties and responsibilities and major performance

objectives/performance standards. The performance standards become valid when the senior rater initials the form under PART III. PART IV (c) is completed by the ratee at the end of the rating cycle and lists the employee's accomplishments as compared to previously stated objectives and assigned duties. This form is the basis for the Rater and Senior Rater to complete the actual evaluation.

(2) MID POINT COUNSELING: Mid point counseling is a ratee's right. Failure to properly conduct and initial (all parties) the mid point counseling may provide the basis for an employee to have an annual appraisal rescinded. Mid point counseling is mandatory and will be conducted face to face between the rater and the ratee and will be recorded on the DA Form 7222-1. Mid point counseling is where strong and weak points are identified to the employee and the employee is told where he/she stands and what can be done to improve weaknesses. This eliminates any surprise at the end of the rating cycle. Mid point counseling is a minimum requirement. More frequent counseling may be required for substandard employees, or employees who achieve extraordinary results.

(3) The evaluation must be prepared in a timely manner, which will ensure that it can be processed through the BSB S-1's Office and presented to the CPOC within 45 days from the end of cycle date. Once an appraisal is completed and rater, senior rater and ratee have signed it, the original copy of the appraisal will be given to the rated individual. Two complete copies of the rating, to include the DA 7222-1, Senior System Civilian Evaluation Report Support with the **Heidelberg CPAC Submission Checklist (Page 9)** is presented to the BSB S-1 Office **NLT 30 days** following the end of the rating cycle date to be forwarded to CPOC.

SPECIAL EVALUATIONS

Special evaluations do not eliminate the requirement for an annual rating. Employees must have at least 120 days under a performance plan to receive a special evaluation. Special evaluations may be prepared for an employee when the employee or the rater departs prior to the end of a normal annual cycle, or when an employee has been detailed to another position for a period of 120 days or more.

DISPOSITION OF SPECIAL EVALUATIONS: Special evaluations are not processed through the CPAC. The original is provided to the employee and a copy of the special evaluation is provided to the new rater.

The special rating is used when the new rater prepares the annual rating and a copy of the special rating should be attached to the annual evaluation.

No performance award or quality step increase may be submitted in conjunction with a special evaluation. If an award recommendation is desired for a special act or specific superior performance, a DA Form 1256 must be used.

PERFORMANCE AWARDS IN CONJUNCTION WITH EVALUATIONS

When an employee is recommended for a performance award or quality step increase in conjunction with an annual appraisal, a copy of the DA Form 7223 and DA Form 7223-1 or DA Form 7222 and DA Form 7222-1 will be submitted with the employees' award history attached. PART III on the copy of the DA Form 7222 or 7223 will indicate the recommended award.

The BSB S-1 will process the award through the BSB approving authorities. Once the award has been approved, the S-1 will return the action to the originator to be entered in MODERNS. (MODERNS is the Defense Civilian Personnel Data System)

No award recommendation will be processed until the annual appraisal has been completed and a copy furnished to CPOC to be placed in the employees OPF. It is the S-1's responsibility to forward a copy of the annual appraisal to CPOC and retain a copy on file.

Awards up to three percent, QSI and TOA. The Directorate's signature block will be typed in the upper left corner and the Commander's signature block typed in Part III of the DA Form 7222 or DA Form 7223.

The DA Form 7223 or DA Form 7222 and a copy of the award history will be placed in a folder with a 233d BSB Routing/Action sheet on the front, routing the action thru the Directorate, S-1, CSM, XO, CDR, S-1, and return to the Directorate.

Awards above three percent up to five percent. The Directorate's signature block will be typed in the upper left corner, the Commander's signature block will be typed in the upper right corner, and David M. Merhar, 26th ASG CofS signature block will be typed in Part III of the DA Form 7222 or DA Form 7223.

The appraisal and award history will be placed in a folder with a 233d BSB Routing/Action sheet on the front, routing the action thru the Directorate, S-1, CSM, XO, CDR, S-1, Directorate. The BSB S-1 Office will process the award through the BSB approving authorities.

Once the award has been approved, the S-1 Office will return the action to the originator to be entered in MODERNS. No award recommendation will be processed until the annual appraisal has been completed and a copy furnished to CPOC to be placed in the employees OPF. It is the S-1 Office responsibility to forward a copy of the annual appraisal to CPOC.

PROPONENT AGENCY

The proponent agency for this handbook is the S-1, 233d Base Support Battalion. Any suggestions for changes, modifications or clarifications should be directed to 348-6253.

HEIDELBERG CPAC
TAPES SUBMISSION CHECKLIST
(MUST BE ATTACHED TO APPRAISALS)

Ensure the following info is complete prior to submitting appraisals to CPOC:

Part I – Administrative Data

_____ **Blocks a-d.** Ratee Identification (e.g.,: name, social security number, position title, pay plan, series and grade, and organization/unit.

_____ **Block e.** Reason for Submission: **“X” Annual or Special.**

_____ **Block f.** Period Covered: **from**_____ **to**_____ (Period Covered and Rated Months normally match the rating cycle designated by the grade level. **Note:** If the rating is an early annual or extended rating, please ensure you have adjusted period covered and that rated months coincide.)

Part II – Authentication

_____ **Block c.** Printed Name of Senior Rater, Signature and Date.

Part VIII – Senior Rater

_____ **Block a.** Overall Performance Rating: **“X” ***

_____ Ensure Support Forms are submitted with the Evaluation.

MOST COMMON ERRORS FOUND ON TAPES EVALUATION FORMS:

_____ Performance plan not in effect for 120 days.

_____ Senior Rater failure to initial and date performance plan.

_____ Failure to annotate objective ratings on the performance plan (i.e., **(E) – Excellence, (S) – Success, (NI) – (Needs Improvement) or (F) – Fails.**

_____ Total of the rated objectives (percent) does not match the level of the overall rating.*

_____ Rater and Senior Rater box checks not in agreement. e.g., Rater checked excellence over 75% **in Part IV a** and Senior Rater overall performance rating of successful level 2 in **Part VIII a.**

_____ For supervisors or managers, the appropriate box is marked to indicate Yes or No for Excellence in Org Mgt/Ldshp or EEO/AA.

(TAPES POC Signature Block, Date, Phone #)

BEFORE YOU START RATING (S), DON'T FORGET TO: *Read the TAPES user pamphlet (DA Pamphlet 690-400).* It was designed to provide step-by-step instruction and guidance on the performance appraisal process. Or further guidance contact your servicing MER Specialist at DSN 370-7470/8513.

