

Army Regulation 690–400

Civilian Personnel

Chapter 4302 Total Army Performance Evaluation System

**Headquarters
Department of the Army
Washington, DC
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SUMMARY of CHANGE

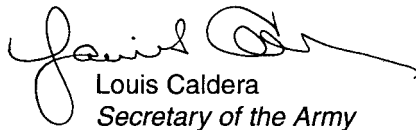
AR 690-400

Chapter 4302

Total Army Performance Evaluation System

Civilian Personnel

Chapter 4302
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Louis Caldera
Secretary of the Army

History. This chapter or AR 690-400 was originally printed on 22 May 1993. It was authenticated by Gordon R. Sullivan, General, United States Army, Chief of Staff, and Milton H. Hamilton, Administrative Assistant to the Secretary of the Army. Change 1 was printed on 16 November 1998. Change 1 was authenticated by Louis Caldera, Secretary of the Army. This electronic edition includes the original 1993 publication and Change 1.

Summary. a. This change updates relevant

regulatory references; provides accurate address of proponent for suggestions, comments, clarification, and so forth; removes some requirements for Senior Rater and changes responsibilities for optional use of Senior Rater; changes the descriptions of performance required for ratings at the different Successful levels; removes outdated references to the Performance Management and Recognition System (PMRS); clarifies that acceptable level of competence (ALOC) decisions for within-grade increase (WIGI) purposes must be based on a rating of record, not a special rating, to comply with Office of Personnel Management (OPM) requirements; removes appendix C; and eliminates references to the Senior Rater Profile, which is being discontinued.

b. These changes to the basic regulation, AR 690-400, chapter 4302, dated 22 May 1993, will be implemented in phases after 30 September 1998. Employees will remain under provisions set forth under the 22 May 1993 regulation until notified by their chain of command that they are covered by the provisions of these changes. No provision of these changes shall be applied in such a way as to affect any administrative proceeding related

to any action taken under the basic regulation prior to implementation of these changes.

Applicability. Not applicable.

Proponent and exception authority. Not applicable.

Army management control process. Not applicable.

Supplementation. Not applicable.

Suggested Improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Assistant Secretary of the Army for Manpower and Reserve Affairs (SAMR-CPP-MP), 200 Stovall Street, Alexandria, VA 22332-0300.

Distribution. Distribution of this publication is made in accordance with the requirements on DA Form 12-09-E, block 3695, intended for command level C for Active Army, U.S. Army Reserve, and none for the Army National Guard.

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Subchapter 1 General Provisions

1-1. PURPOSE

a. Performance management is the systematic process of integrating performance, pay, and awards systems to improve individual and organizational effectiveness in the accomplishment of Army mission and goals.

b. The Department of the Army Performance Management Plan consists of the following components:

(1) The Performance Management Program required by DOD 1400.25-M, subchapter 430, Performance Management.

(2) The plan for Performance Awards required by 5 CFR 451, subpart A, and a plan for Quality Step Increases in accordance with 5 CFR 531, subpart E (Reference AR 672-20).

(3) A within-grade increase plan in accordance with 5 CFR 531, subpart D (AR 690-990-2, book 531).

(4) A plan in accordance with 5 CFR 432 for taking performance-based actions against employees who fail to meet performance expectations (Reference AR 690-400, chap 432).

c. This chapter sets forth policy for civilian personnel performance management programs of the Department of the Army that are in conformance with the DOD performance appraisal system approved by the Office of Personnel Management. Guidance for implementing the performance evaluation system and for appropriate use of forms is included in DA Pamphlet 690-400, chapter 4302.

d. Requests for clarification of policy, forms completion, and procedures should be sent through the chain of command to the Assistant Secretary of the Army for Manpower and Reserve Affairs (SAMR-CPP-MP), 200 Stovall Street, Alexandria, VA 22332.

1-2. OBJECTIVES

The Army's system for planning and appraising performance, the Total Army Performance Evaluation System (TAPES), is designed to improve Total Army performance by:

a. Communicating organizational goals and priorities, and Army values and ethics to employees.

b. Establishing individual expectations for performance that reflect organizational goals and priorities.

c. Facilitating frequent discussion among the Ratee and the rating chain about performance, expectations, professional development, and DA values and ethics.

d. Providing an environment where all understand that they are important members of the Army Team—in which they are recognized for their achievements, counseled and assisted in areas in which they can improve, encouraged to take responsibility for doing things better and to support team endeavors, and challenged to develop professionally and to perform at their full potential.

e. Requiring annual written individual performance evaluations that provide supervisors and managers with tools for:

(1) Systematic assessment of performance results achieved to make sound plans and decisions concerning compensation, training, rewards, reassignments, promotions, reductions in grade, retention, reductions in force, and removal.

(2) A sound and continuing basis for effective supervisor-subordinate partnerships in pursuit of common goals.

1-3. APPLICABILITY

This chapter applies to all civilian employees paid from appropriated funds in both the competitive and excepted service except those:

a. Who are in the Senior Executive Service;*

b. Who are National Guard Technicians under 32 USC 709;

c. Who are paid local national prevailing wage rates for the area in which employed; and

d. Who occupy temporary positions for which employment is not expected to exceed 120 days in a consecutive 12-month period.

* Implementing policy for the Senior Executive Service is set forth in AR 690-900, Chapter 920. Subchapter 8.

1-4. RESPONSIBILITIES

Performance management is an inherent responsibility for all those in positions of leadership. Those being rated, developed and recognized through the performance management system also have significant roles. Specifically,

a. Commanders and other equivalent leaders at all activity levels are responsible for the success of the performance management system. To fulfill their responsibilities, they will:

(1) Ensure fair and consistent application of this chapter in compliance with governing laws, rules, and regulations and ownership of this system by all members of the command chain.

(2) Develop and communicate organizational goals and priorities to assist in developing individual and/or group goals and expectations.

(3) Discuss and exhibit DA values and ethics; assure they are visible and meaningful in the organization.

(4) Ensure that Ratees are informed of the individuals in their rating chains and of their annual rating cycles.

(5) Ensure that all—civilian supervisors, military supervisors who rate civilians, union representatives, and employees—receive adequate training or orientation concerning the performance appraisal system.

(6) Ensure timely preparation of written performance plans and completed performance appraisals.

(7) Monitor the performance management program.

b. Senior Raters, when utilized, are responsible for communicating goals, for setting standards of performance, and for making DA values and ethics visible to facilitate understanding and adherence by all members in their organizations. They are responsible for assessing individual contributions in the broader perspective of overall mission accomplishment. In fulfilling these responsibilities, they will:

(1) Review and approve Performance Plans at least at the beginning of each rating period and at any other time during the rating period when major changes to expectations occur (e.g. new or revised missions that requires changed priorities and resources distribution).

(2) Review performance appraisals and assign ratings in a timely manner, assuring accuracy and compliance with requirements.

(3) Make supportable statements about Ratee's performance and potential—based either on personal knowledge and observation or on reliable information provided by subordinate raters.

(4) Resolve disagreements between Raters and Intermediate Raters.

(5) Consider performance appraisals and ratings when making personnel management and pay decisions.

c. Intermediate Raters are responsible for communicating organizational goals, exhibiting DA values and ethics, and reviewing individual performance plans and subsequent appraisals to ensure that they accurately reflect mission needs and individual accomplishments. In fulfilling their responsibilities, Intermediate Raters will:

(1) Review and recommend approval of Performance Plans at the beginning of each rating period and at other times during the rating period that major changes to expectations occur.

(2) Review performance appraisals in a timely manner, either concurring with the proposed ratings or seeking resolution of the disagreement—first with the Rater and then the Senior Rater.

d. Raters are responsible for assigning work and for either assisting Ratees in or for establishing job-related expectations for Ratees. They provide information to and obtain feedback from Ratees on DA values and ethics, work unit goals and priorities, performance, and professional development plans. To accomplish their responsibilities, Raters will:

(1) Identify Rating Chains to their Ratees. Explain if and how any individuals who are not in the official supervisory chain but who assign and monitor the Ratee's work will be involved (e.g. Project Managers, EEO Officers, Safety Officers).

(2) Communicate organizational goals and priorities to Ratees—both at the beginning of each rating period and throughout the year as changes occur.

(3) Develop Ratee performance plans for each rating period. Work with Ratees in establishing individual performance and professional development goals and expectations that should be attainable and that reflect organizational needs.

(4) Discuss DA values and ethics with Ratees. Exchange ideas about what values mean and what types of behavior each believes indicates adherence.

(5) Conduct formal performance-related discussions at the midpoint of each rating period and at any other time that needs arise. Provide informal feedback and get Ratee input on performance expectations and accomplishments throughout the rating period. If significant changes to expectations occur, notify the rating chain and obtain approval.

(6) Prepare timely written performance appraisals that describe specific accomplishments and that accurately assess the Ratee's total contributions when compared with documented expectations.

(7) Use performance appraisals and ratings to assist them in making sound, equitable personnel decisions.

e. Ratees are responsible for learning what is expected of them; for discussing their ideas about the work, Army values and professional development goals with Raters; and for performing to the best of their abilities. In fulfilling these responsibilities, Ratees will:

(1) Take appropriate roles in developing their performance and professional development plans.

(2) Try to do their work right—for informing their rating chains when they have questions and/or needs, when problems occur or when they believe work could be done better.

(3) Provide rating chains with timely feedback on their accomplishments that rating chains can use in preparing performance appraisals.

f. Civilian Personnel Offices are responsible for supporting the command (parent and serviced) in implementing and administering viable and constructive performance management programs. In fulfilling their responsibilities, they will:

(1) Advise and assist supervisors in executing their daily performance management responsibilities and keep commanders and equivalent leadership informed of program status and needed program improvements.

(2) Train or arrange training for supervisors and disseminate information to employees and employee representatives concerning the performance management system.

(3) Input performance rating data into the Army Civilian Personnel System (ACPERS) and file annual performance appraisals with special appraisals (if any) and performance plans attached in individual Official Personnel Folders or Employee Performance Folders in accordance with 5 CFR 293.402.

1-5. COMPONENTS OF THE TOTAL ARMY PERFORMANCE EVALUATION SYSTEM (TAPES)

All civilian employees except those excluded in paragraph 1-3 above will be included under either the Base or the Senior systems, which provide for:

a. Written Performance Plans. Employees will have written performance plans which document expectations that are based on organizational mission and goals and that reflect the types of duties and responsibilities listed in their job descriptions. Plans consist of preprinted Responsibilities (Base system only) and performance standards and individual job-related expectations set forth during performance-related discussions.

(1) The plans, representing joint efforts of Ratees and their rating chains, should be in place within 30 days from the beginning of each rating period.

(2) The plans must be reviewed and approved by the rating chain at least at the beginning of the rating period and any other time that expectations change significantly.

(3) Performance plans are recorded on the Counseling Checklists, DA Form 7223-1 (Base System Civilian Performance Counseling Checklist Record), in the Base System; on the Support Form, DA Form 7222-1 (Senior System Civilian Evaluation Report Support

Form), in the Senior System; and on the ICD for Ratees whose job descriptions are so generated.

(4) Performance plans become effective on the day they are approved by the Senior Rater. If a Senior Rater is not utilized, the effective date is the day they are approved by the rater.

b. Annual Rating Periods. All Ratees will have pre-established 12-month rating periods. MACOMs or local activities establish rating periods for Ratees in the Base System. Ratees in the Senior System are rated in standard annual rating cycles based on pay plan and grade, as follows:

1 JUL—30 JUN—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 and employees at equivalent levels in other pay plans (except WL and WG).

NOTE: CAREER INTERNS are rated 6 months after their entry into the position and again at the end of 12 months. This first rating (at 6 months) is considered a Special Rating. The first annual rating is rendered at the end of 12 months. Interns continue on their unique annual rating cycles (based on their entry into the positions) until they complete the Intern Program—at which time they are phased into the DA cyclic rating periods.

c. Official Rating Chain. Each Ratee will have an identified rating chain consisting of at least a Rater and a Senior Rater. If a level of supervision exists between the Rater and the Senior Rater or if circumstances require an additional rater (e.g. someone who is not in the Ratee's official supervisory chain but who frequently or consistently assigns work and observes the Ratee's performance), an Intermediate Rater is included in the chain. If the commander or equivalent leader is the Rater, he/she may serve as Senior Rater also. The utilization of a Senior Rater and Intermediate Rater in the review of performance plans and appraisals is optional except in the situation in which an employee fails one or more of the objectives/responsibilities. In that situation, the Senior Rater must review the rating assigned by the Rater.

d. Minimum Rating Period. Army's minimum rating period is 120 days. Ratees cannot be rated until they perform under approved performance plans for at least 120 days.

e. Special Requirements for Performance Plans and Ratings. Some positions include specific requirements for which clearly defined performance expectations should be developed for each rating period. Among these requirements are Supervision and/or Leadership and Equal Employment Opportunity/Affirmative Action (EEO/AA) planned efforts for all supervisors and managers; plans to increase competition and achieve cost savings in contracting and of contracting officers to make awards to small business concerns (10 USC 2301); individual efforts to eliminate wasteful practices and achieve cost savings in inventory management (Section 323 of Public Law 101-510); and discharge of security, internal control, safety, and other relevant responsibilities of the position.

f. Written Performance Appraisals. Written performance appraisals with Overall Performance Ratings assigned will be completed and recorded on DA Form 7223 (Base System Civilian Evaluation Report) for the Base system and on DA Form 7222 (Senior System Civilian Evaluation Report) for the Senior system. There are two types of written appraisals: annual and special.

g. Objective Ratings. The ratings assigned to Objectives that are rated in the Senior System. Objectives ratings define the level of performance achieved for that Objective as follows:

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.

h. Responsibilities Ratings. The ratings assigned each of the Responsibilities in the Base system which define the level of performance achieved for that Responsibility, as follows:

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.

i. Overall Rating Formulas. Overall Performance Ratings are derived from formulas that establish how Objectives and Responsibilities ratings determine the Overall Performance Rating. These formulas are defined below:

BASE SYSTEM

SUCCESSFUL

LEVEL 1—Ratee With No Supervisory Duties is rated **EXCELLENCE** in 3 or more of the nonsupervisory Responsibilities and **SUCCESS** in the remaining nonsupervisory Responsibilities. Ratee With Supervisory Duties is rated **EXCELLENCE** in 4 or more Responsibilities—at least one of which must be either Supervision/Leadership or EEO/AA—and **SUCCESS** in the remainder. (This is Level 5 in 5 CFR, Part 430.)

LEVEL 2—Ratee With No Supervisory Duties is rated **EXCELLENCE** in either two or one of the nonsupervisory Responsibilities and **SUCCESS** in the remaining nonsupervisory Responsibilities. Ratee With Supervisory Duties is rated **EXCELLENCE** in either two or three Responsibilities—one must be either Supervision/Leadership or EEO/AA—and **SUCCESS** in the remainder. (This is Level 4 in 5 CFR, Part 430.)

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**. (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.)

SENIOR SYSTEM

SUCCESSFUL

LEVEL 1—Ratee With No Supervisory Duties is rated **EXCELLENCE** in 75 percent or more of the Objectives and **SUCCESS** in the remaining nonsupervisory Objectives. Ratee With Supervisory Duties must also be rated **EXCELLENCE** in 75 percent or more of ALL Objectives—which must include **EXCELLENCE** ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s)—and **SUCCESS** in the others. (Level 5 in 5 CFR, Part 430.)

LEVEL 2—Ratee With No Supervisory Duties is rated **EXCELLENCE** in 25-74 percent of rated Objectives and **SUCCESS** in the remaining Objectives. Ratee With Supervisory Duties must be rated **EXCELLENCE** in 25-74 percent of ALL Objectives—which must include **EXCELLENCE** ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s) and at least **SUCCESS** in others. (Level 4 in 5 CFR, Part 430.)

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 Objectives for both Organizational Management and Leadership and EEO/AA. (Level 3 in 5 CFR 430.)

FAIR—All Ratees who are rated **NEEDS IMPROVEMENT** in 1 or more Objective(s) and are **NOT RATED FAILS IN ANY**. (Level 2 in 5 CFR 430.)

UNSUCCESSFUL—All Ratees rated **FAILS** in 1 or more Objective(s)—regardless of ratings assigned other Objectives. (Level 1 in 5 CFR 430.)

j. Ratings for Temporary Promotions and Details. Temporary promotions and details for 120 days or more require performance plans and normally are documented by special appraisals.

(1) The exception to preparing a special rating involves temporary promotions which are ongoing at the end of the Ratee's annual rating cycle. A Ratee temporarily promoted officially occupies the position to which promoted. Therefore, if the Ratee's scheduled annual rating cycle ends while the Ratee is on temporary promotion which has lasted at least 120 days, the Rater of the position to which temporarily promoted prepares the annual appraisal.

(2) Conversely, a Ratee who is detailed continues to occupy the position from which detailed for official purposes. Thus, the Rater of the detailed position prepares a special appraisal if the Ratee's annual rating cycle ends during the detail. The Rater for the position from which the Ratee is detailed may either attach the special appraisal to the annual appraisal he/she prepares or, if the detailed lasted for most of the rating period, adopt the special appraisal as the annual appraisal.

k. Reconsideration Processes. Ratees who have dissatisfactions with their performance appraisals that they cannot resolve informally may request formal reconsideration. The formal request for reconsideration should be submitted in the form of a grievance, either through a negotiated procedure or through locally-established procedures required by DOD CPM 1400.25M, subchapter 771.

l. Performance Which Fails to Meet Expectations. Ratees who fail to meet Responsibilities/ Objectives must be so informed in writing, provided guidance and assistance, and given a reasonable opportunity to improve performance. Nonprobationary Ratees who do not improve after being given formal opportunities to do so under Performance Improvement Plans (PIPs) will be reassigned, reduced in grade, or removed in accordance with procedures set forth by 5 CFR 432 and AR 690-400, Chapter 432. In certain circumstances, adverse actions for performance may be effected under AR 690-700, Chapter 751. In these cases, the requirements for notice and a PIP are encouraged but not mandated. Management, the Labor Counselor and the Civilian Personnel Office representative should let the facts of the case direct the best course of action.

m. Performance Which "Needs Improvement." At any time during the rating cycle that the Ratee is determined to "Need Improvement" in one or more Responsibilities or Objectives, the Rater should notify the Ratee and consider providing assistance. Such assistance may include but is not limited to formal training, on the job training, counseling, and closer supervision.

n. Inability to Rate. When annual ratings cannot be prepared at the end of the scheduled rating cycles (e.g. extended illness or Long-Term classroom training of the Ratee), rating periods are extended for the time necessary to meet the minimum 120-day requirement, at which time annual ratings will be prepared. Until current ratings can be prepared, the most recent ratings of record remain in effect for all purposes except Reduction in Force (RIF). For RIF, a Ratee without a current rating of record will be assigned a presumed Successful Level 3 to adjust Service Computation Date unless he/she has three actual ratings which were assigned during the four-year window established by the activity for the RIF.

o. Forced Distribution. Activities may not prescribe a distribution of rating levels. Ratees must be rated against written, communicated performance expectations and not ranked among others.

p. Transfer of Rating. When Ratees leave their positions during the rating period for details, temporary promotions or permanent transfers, they should be rated in accordance with guidance set forth in Appendix A.

1-6. LABOR RELATIONS PROGRAM REQUIREMENTS

The establishment and content of performance expectations set forth in individual Performance Plans are not negotiable under 5 USC 7106(a)(2)(A) and (B). However, supervisors are encouraged to inform local bargaining unit representatives of organizational goals, objectives, and priorities to assist them in carrying out their representational responsibilities and to facilitate cooperative management/union relationships. Exclusive representatives of bargaining units may bargain on the impact and implementation of performance management systems.

Subchapter 2 Performance Management Linkage

2-1. GENERAL

Supervisors and managers will consider performance appraisals and ratings when adjusting base pay and determining performance awards, training, rewarding, reassigning, promoting, reducing in grade, reduction in force, retaining and removing employees.

2-2. PROFESSIONAL DEVELOPMENT

Planning for professional development is an integral part of the performance management process. Along with meaningful performance-related discussions that assist Ratees in reinforcing strengths and correcting weaknesses, professional development opportunities may include classroom training, on-the-job training, mentoring, special assignments, participation in professional and civic organizations, and publishing professional articles. Rating chains should encourage Ratees to seek professional development opportunities and reward them appropriately (e.g. through awards, challenging work assignments, promotions) when they succeed in enhancing their value to the organization. (See AR 690-400, Chap 410 for Army policy governing training.)

2-3. WITHIN-GRADE INCREASES

a. Federal Wage System employees advance automatically to the next pay step by receipt of a within-grade increase with current ratings of record of at least Successful Level 3 so long as they satisfy the time requirements.

b. General Schedule (GS) employees must also be rated at Successful Level 3 or higher and satisfy time requirements to be eligible for within-grade increases; however, if the current rating of record does not support an accurate Acceptable Level of Competence (ALOC) determination (for example, a GS-07 employee has a current rating of Successful Level 3 but has been experiencing performance deficiencies for the past 4 months so that the current level of performance is below Successful Level 3), the Rater must prepare a new rating of record to justify the ALOC decision. (NOTE: Such appraisals should be coordinated with the servicing civilian personnel representatives. Copies of appraisals used to deny WIGIs should be included in the adverse action files) (AR 690-500, chapter 531).

2-4. CASH AWARDS FOR PERFORMANCE

a. All Ratees rated at Successful Level 3 or higher are eligible for consideration for Performance Awards. Supervisors should grant such awards to those who are deserving based on merit and who have not been otherwise rewarded for their contributions. (Refer to AR 672-20.) (NOTE: Nominations and approvals of performance-based awards are documented in Part III of the Civilian Evaluation Report Forms, DA Forms 7222 and 7223.)

b. Only GS employees rated Successful Level 1 are eligible for Quality Step Increases (QSI), which are one-step increases to base pay. (AR 672-20) (NOTE: Nominations and approvals of QSIs are documented in Part III of the Civilian Evaluation Report forms, DA Forms 7222 and 7223.)

2-5. PROMOTION

Supervisors should consider referred employees' recent ratings of record (e.g. the last 3 years) when making placement decisions. Information on appraisals may indicate if and how well employees performed duties relevant to the position for which they are being considered. Ratings history may indicate individual potential to perform different or more responsible work. Local Merit Promotion Plans should specify how performance appraisals will be used by those who are rating and ranking qualified applicants for referral to selecting officials. (FPM Supplement 335-1, subpara B-8f.)

2-6. PROBATIONARY OR TRIAL PERIODS

a. New employees enter their regularly scheduled annual rating periods based on their pay plan and grade (except Career Interns,

refer to subpara 1-5b). Raters should begin monitoring new employees immediately to determine if they are willing and able to perform the work and are otherwise suited for retention in their positions. Although formal PIPs are not required for Ratees who are serving probationary appointments, Raters normally should provide Ratees who are not meeting expectations with enough information to help them understand how they are failing and how they might improve. Upon determination that probationary Ratees either will not or cannot meet expectations, Raters must begin action to terminate them from their positions and/or from Federal service. (NOTE: Ratings of Successful Level 3 or higher rendered early during probationary or trial periods do not preclude subsequent decisions that Ratees are not performing at expected levels or otherwise suitable to be retained. However, Raters should be able to provide specific examples either of how performance and/or conduct deteriorated after the rating was assigned or how the conduct used to support the termination was unrelated to the performance appraisal.) (AR 690-300, Chap 315)

b. Employees serving probationary periods for initial appointments to supervisory/managerial positions who do not meet expectations set forth in performance plans that relate to supervisory/managerial responsibilities will be returned to nonsupervisory/non-managerial positions. That decision can be made at any time during the one-year probationary period. Although formal notice and opportunity to improve are not required, supervisors generally should provide at least enough information so that the Ratee understands specific deficiencies in time to try to make corrections. (NOTE: Successful Level 3 or higher Overall Performance Ratings rendered early during the supervisory/managerial probationary period do not preclude subsequent decisions that individuals are not successfully performing the supervisory/managerial aspects of their positions. However, Raters should be able to provide specific examples of deficiencies which occurred after the rating was rendered.) (FPM Chapter 315, subchap 9)

c. Decisions to remove probationary employees may be made at any time during the probationary period. ACPERS produces suspense notices for Raters to make decisions to retain or remove probationary Ratees no later than the end of the ninth month from the Ratee's appointment. This advance notice is to give Raters enough time to effect necessary actions under the simplified probationary procedures if the Ratee is not to be retained. Supervisors certify their decisions concerning probationary Ratees on the ACPERS-generated form letter, copy at Appendix B, which is disseminated by the servicing Civilian Personnel Office.

2-7. REDUCTION IN FORCE (RIF)

Procedures for adjusting service computation dates (SCD) for RIF based on ratings of record will be in accordance with 5 CFR 351, subpart E and AR 690-300, Chapter 351. The effective date for performance appraisals is the date on which the Senior Rater signed the appraisal. If the senior rater is not utilized, the effective date is the date the rater signed the appraisal.

2-8. REASSIGNMENT, REDUCTION IN GRADE, REMOVAL

For Unsuccessful Performance. At any time during the rating period that a Ratee who has completed the probationary period fails to meet a Responsibility or Objective, the Rater must provide the Ratee with a PIP. A PIP should provide written information to the Ratee on specific deficiencies and necessary improvements and establish a reasonable timeframe in which the Ratee must improve before corrective action is initiated. PIP notices should also define assistance to be provided to help the Ratee meet expectations (e.g. formal training, on-the-job training, coaching and counseling, and closer supervision). Ratees who fail to improve or who improve but fail to sustain the improvements for at least a year from the beginning of the PIP will be reassigned, reduced in grade, or removed. (See AR 690-400, Chap 432). (NOTE: Under some circumstances adverse actions for performance-based problems may be initiated under Chapter 75 procedures without a PIP.)

Subchapter 3 Performance Evaluation Documents

3-1. PERFORMANCE PLANS

Performance plans are recorded on DA Form 7223-1, for Ratees covered by the Base system; on DA Form 7222-1, for Ratees in the Senior system; and/or on the Integrated Core Document (ICD) for Ratees whose performance plans are produced in ICD format. Both the Rater and the Ratee should keep updated copies of the current performance plan. Copies of applicable performance plans are attached to completed performance appraisals which are submitted to the Civilian Personnel Offices for processing.

3-2. IN-PROGRESS REVIEW DOCUMENTATION

Performance reviews during the rating period should be documented on DA Form 7223-1 for employees in the Base system and on DA Form 7222-1 for employees in the Senior system, or on the ICD for Ratees whose performance plans are so generated. If adequate space is not provided on these two forms, additional pages may be attached.

3-3. WRITTEN PERFORMANCE APPRAISALS

a. Written appraisals. Written annual or special performance appraisals will be prepared on DA Form 7223 for Ratees in the Base System and on DA Form 7222 for Ratees in the Senior System. Copies of completed appraisals should be distributed as follows:

(1) Annual appraisals. Completed annual appraisals should be reproduced in an original and two copies—the original going to the Ratee, one copy retained by the Rater, and one copy submitted to the Civilian Personnel Office for filing either in the Official Personnel File or the Employee Performance File (see 5 CFR 293.402) and entering into ACPERS. Performance appraisals with plans attached are retained for four years.

(2) Special appraisals. Special appraisals should be completed in an original and two copies—the original going to the Ratee; one copy submitted to the Rater of record to be attached to the annual appraisal; and one, retained by the Rater of the Special appraisal. Special appraisals do not go to the Personnel Office when completed. They are attached to Annual appraisals at the end of the rating period.

b. Corrections to written appraisals. Discrepancies in written appraisals should be corrected as soon as possible after they are discovered. Discrepancies can result from causes such as clerical errors that unintentionally changed content; from grievances, appeals, or other complaint procedures; or because of new information which had enough impact on the completed appraisal that it changes the appraisal and/or the rating. Corrective action should include the following:

(1) Preparation of a corrected performance appraisal, DA Form 7222 or DA Form 7223, to include signatures by the appropriate raters.

(2) Destruction of official copies of the erroneous performance appraisal.

(3) Appropriate distribution of the corrected appraisal.

(4) Adjustment to personnel actions which were based on the erroneous overall performance rating.

Appendix A Additional Guidance. Written Performance Appraisals

1. ANNUAL APPRAISALS

a. Rating periods. Rating periods normally cover one year, but must cover at least 120 days. Circumstances sometimes require that a Ratee be appraised out of cycle. Examples of situations requiring lengthened or shortened rating periods are discussed below.

b. Shortened rating periods. Ratees usually receive annual appraisals for periods of less than one year under the following circumstances:

(1) The Ratee enters a position after the rating cycle begins, the annual rating period ends, and he/she has worked under a Performance Plan for at least 120 days. [NOTE: If the Ratee has already received a rating of record for that rating year (e.g., the Ratee was promoted within four months from the end of the cyclic period at the lower grade and was or will be rated at the lower grade), the Rater should add the time in the new positions to the next rating period rather than completing a second rating of record.]

(2) A Ratee who was reduced in grade or reassigned as a result of an Unsuccessful (Level 5) performance rating has worked under a performance plan for 120 days or more in the lower-graded position. (Until the Ratee is rated in the new position, his/her current rating of record is a presumed Successful Level 3.)

(3) The Rater leaves within 120 days from the end of the Ratee's annual rating period.

(4) The Ratee leaves the position within 120 days from the end of his/her annual rating period.

(5) The Ratee is serving in a position to which temporarily promoted and has been promoted into the position for at least 120 days when the annual rating cycle ends. In this case, the Rater of the position to which temporarily promoted prepares the annual appraisal. Performance for the current rating period prior to the temporary promotion may be assessed in a Special appraisal which is attached to the Annual appraisal.

(6) An employee serving an overseas local hire appointment who meets the criteria set forth in 5 CFR 315.608(a) is terminated. (NOTE: Rating periods for these individuals may be shorter than 120 days.)

c. Extended rating periods. Rating periods are extended usually to allow a Ratee to work the minimum 120-day rating period in a position under an approved performance plan before being appraised. The following are some examples of situations in which a rating period might be extended. In these cases, a rating of record should be prepared as soon as the employee works for 120 days under an approved performance plan.

(1) The Ratee was on long-term training in a classroom environment and did not work under an approved performance plan for 120 days by the end of the cyclic rating period.

(2) The Ratee was on extended sick leave and did not complete 120 days of the cyclic rating period under an approved performance plan.

(3) The Ratee is in a performance improvement period (PIP).

(4) The Ratee is in a notice period for proposed disciplinary or adverse action based upon an offense that, if sustained, will have a direct impact on the performance appraisal.

d. Due dates. Annual appraisals are due in the Civilian Personnel Office as soon as practical after the end of the rating period but at least within 45 days.

2. SPECIAL APPRAISALS

a. General.

(1) Ratees who are detailed, temporarily promoted, or otherwise assigned away from their normal duties for 120 days or more during their annual rating cycles should receive performance plans and Special appraisals. Information provided in Special appraisals should be considered by the rating chain in preparing the annual appraisal. (If Ratees are on details or temporary promotions when

their rating periods end, annual appraisals should be prepared. Please see paragraph 1-5j of this regulation.)

(2) Special appraisals have the same requirements for performance plans, authentication, and assignment of overall performance ratings as do ratings of record, except that a Special appraisal used to return a probationary manager/supervisor to a nonmanagerial/nonsupervisory position need address only failure to meet expectations pertaining to supervision or management.

(3) Special appraisals and performance plans are not sent to the Civilian Personnel Office when they are completed. Rather, they are attached to annual appraisals and filed in either the OPF or EPF with the annual appraisal.

(4) Special ratings are not entered into ACPERS.

(5) Due dates. Special appraisals should be completed as soon as possible after the end of the special rating but at least within 45 days.

b. Departure of Raters. Raters who leave their positions should issue special appraisals for all Ratees under their supervision who have been under approved performance plans for at least 120 days. [NOTE: They should issue annual appraisals for those Ratees who have 120 days or less remaining to their current rating periods.]

c. Departure of Ratees. Ratees who leave their positions to accept other Federal positions after completing at least 120 days under approved performance plans should receive special appraisals to provide to their gaining supervision. [NOTE: Special and annual appraisals are not required if they would serve no purpose to Army or the Ratee; e.g. the employee is retiring or accepting employment with a private firm.]

d. Acceptable level of competence (ALOC) decisions. If a GS employee's most recent rating of record does not reflect the employee's current level of performance and support an appropriate ALOC determination to grant or deny a within-grade increase, the rating chain should issue a new rating of record appraisal for the ALOC decision. A copy of that rating of record which is used to deny a WIGI should be included in the adverse action file.

e. Ratings or Other Written Notices prior to a PIP. Raters should strive to place Ratees who are failing to meet expectations on a PIP before the annual rating cycle ends. A Ratee whose performance deteriorates to Fails in one or more Objectives or Responsibilities should receive written notice specifying problem areas and improvements needed to meet expectations. This written notice could be in a number of forms, including a Special appraisal. At the conclusion of the PIP, the Ratee should receive another written notice which could be a letter, a memorandum, or a special or an annual appraisal (depending upon the annual rating schedule)—indicating improvement or serving as the basis for appropriate performance-based action. [NOTE: If the annual rating period ends and the rating chain renders a rating of record of Unsuccessful Level 5 without a PIP and the Ratee improves during the PIP, another rating of record should be issued at the conclusion of the PIP. This second rating does not negate the rating of Unsuccessful Level 5 (i.e. the first rating remains in the ACPERS data base and is used to adjust Service Computation Date for RIF); however, it does become the Ratee's "current rating of record" which is used for purposes such as within-grade increase decisions.]

3. ADDITIONAL GUIDANCE

a. Special or other types of written appraisals transferred from other Federal agencies or Army activities should be attached to annual appraisals. The information provided must be considered by the rating chain in preparing the annual rating.

b. If a Ratee spends most of a rating period on detail (e.g. 8 months or more), the rating chain may choose to convert the special appraisal to the annual appraisal by completing the administrative data (Part I on the DA Form 7222 or DA Form 7223), referencing the attached Special appraisal, indicating that it is accepted as the rating of record, and signing the Evaluation Report in Part II as appropriate (e.g. Rater, Senior Rater, Ratee).

Prescribed Forms

DA Form 7222

Senior System Civilian Evaluation Report

DA Form 7222-1

Senior System Civilian Evaluation Report Support Form

DA Form 7223

Base System Civilian Evaluation Report

DA Form 7223-1

Base System Civilian Performance Counseling Checklist/Record

**Appendix B
ACPERs—Generated Letter
Probationary and Trial Period**

REPLY TO: CIVILIAN PERSONNEL OFFICE

SUBJECT: COMPLETION OF PROBATION/TRIAL PERIOD

TO: MS. JANICE R. SMITH, CHIEF, SUPPLY DIVISION

MR. JOHN G. DOE WILL COMPLETE HIS/HER ONE YEAR PROBATIONARY/TRIAL PERIOD IN HIS/HER NEW POSITION/SUPERVISORY POSITION ON 6 MAY 91. AS THIS INDIVIDUAL'S SUPERVISOR, YOU MUST CERTIFY WHETHER CONDUCT/PERFORMANCE ARE AT A LEVEL TO WARRANT RETENTION OF THIS PERSON IN HIS/HER CURRENT POSITION. YOU MAY DO SO BY CHECKING THE APPROPRIATE BLOCK BELOW; PROVIDING YOURS AND THE EMPLOYEE'S SIGNATURE AND THE DATE ON THE FORM; AND RETURNING IT TO THE CIVILIAN PERSONNEL OFFICE WITHIN TWO WEEKS FROM THE DATE OF THIS TRANSMISSION.

FROM: SUPERVISOR

1) I HAVE HELD A COUNSELING SESSION WITH THIS PROBATIONARY/TRIAL EMPLOYEE/SUPERVISOR. MY DECISION IS SUMMARIZED BELOW:

(a) SUCCESSFUL PERFORMANCE: (PLEASE CHECK ONE OF THE TWO BLOCKS)

(1) EMPLOYEE IS SUCCESSFUL IN ALL ELEMENTS OF JOB PERFORMANCE AND CONDUCT AND SHOULD BE RETAINED IN HIS/HER PRESENT POSITION; OR

(2) SUPERVISOR IS SUCCESSFUL IN ALL SUPERVISORY/MANAGERIAL ELEMENTS OF THE POSITION AND SHOULD BE RETAINED.

(b) UNSUCCESSFUL PERFORMANCE:

EMPLOYEE IS NOT SATISFACTORY IN ALL ELEMENTS OF JOB PERFORMANCE AND CONDUCT. I HAVE DISCUSSED THIS WITH THE EMPLOYEE RELATIONS SPECIALIST AND HAVE INITIATED ACTION TO ACCOMPLISH THE FOLLOWING:

ADDITIONAL TRAINING REASSIGNMENT DEMOTION

SEPARATION

JANICE R. SMITH 1 MAR 91
SUPERVISOR SIGN AND DATE

JOHN G. DOE 1 MAR 91
EMPLOYEE SIGN AND DATE

Appendix C is rescinded. DOD 1400.25-M, subchapter 430, appendix B, is to be used as documentation of OPM approval of the DOD performance appraisal system.

Glossary

Section I Abbreviations

Base System

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

Counseling Checklist

Base system Performance Plan as required by 5 CFR 430.

Days

Calendar days.

Employees

All individuals to whom this chapter applies (see para 1-3.)

General Schedule

Pay plan referred to as GS.

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

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.

Objective

A critical element in the Senior system as defined in 5 CFR 430.

Objective Rating

The adjectival rating assigned to each Objective that the Ratee in the Senior System had a reasonable opportunity to perform (see para. 1-5g).

Overall Performance Rating

The summary rating assigned to describe the Ratee's overall performance for the rating period.

Performance

The Ratee's accomplishment of documented expectations set forth during performance discussions.

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 that are recorded on the Performance Evaluation Report form. (DA Form 7222 for Senior and DA Form 7223 for Base systems.)

Performance Plan

Performance-related expectations documented on DA Form 7223-1 in the Base System; DA Form 7222-1 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 reprinted Responsibilities (Base System only), pre-printed Performance Standards, and individual work and professional development expectations.

Performance Standard

Statements of the types and levels of performance expected which serve as measuring tools to be used in assessing Responsibilities and Objectives.

Program Reviews

Reviews of the Ratee's achievements that take place at least around the midpoint of the rating period.

Ratee

The employee who is being rated.

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.

Rating Chain

The Rater, Intermediate Rater (optional) and Senior Rater.

Rating of Record

The Overall Performance Rating assigned to the annual appraisal.

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.

Responsibility

A critical element in the Base system as defined by 5 CFR 430.

Responsibility Rating

The adjectival rating assigned to each Responsibility in the Base System (see subpara 1-6h.)

Senior Level

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

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 must review all Unsuccessful ratings. The use of Senior Raters to review performance plans and ratings of Fair and above is a MACOM or Independent Reporting Activity decision

which may be delegated down the chain of command.

Senior System

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

Special Appraisal

Appraisals issued for purposes other than the end of the annual rating cycle (e.g. at end of temporary promotions and details or when the current rating of record does not support an Acceptable Level of Competence decision).

ST

The code for the pay plan for scientific and professional positions classified above GS-15.

Support Form

Senior system Performance Plan as required by 5 CR 430,

Values

DA values 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, Respect, Selfless Service, Honor, Integrity, and Personal Courage.

Wage Grade

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

Wage Leader

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

Wage Supervisor

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

UNCLASSIFIED

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