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INFORMATION!!!

TAPES NEWSLETTER

A QUARTERLY PUBLICATION OF THE
PERSCOM EVALUATION SYSTEMS OFFICE
VOL.3 NO.3
JUNE 1995



"BUILDING COHESION"

As of 30 June 1995 we will conclude the second TAPES rating cycle for grades 13 and above. By the end of this calendar year everyone covered under the Base and Senior systems should have received at least one Evaluation Report. We greatly appreciate all of the feedback and suggestions for improvement many of you have continued to provide to us. In this issue, we feature three Single Issue Papers (SIPs). On one page each, we discuss addressing conduct on an Evaluation Report, the importance of counseling, and how Values factor into the workplace. These topics were selected based on your requests for additional information.

IN-PROGRESS REVIEW (IPR)

The latter part of May we mailed out, through command channels, an IPR on the Senior System. In this document we discuss your feedback on the system to date and offer proposals for your review and comment. The suspense date for sending the command response into this office (TAPC-MSE) is 21 July 1995. Feedback on the IPR will play a major role in helping us make any necessary adjustments to fine tune TAPES.

MID-POINT FOR GRADES 9-12

Raters, if you haven't already conducted the mid-point for subject grade levels, please do so. Ratees, if your mid-point has not been conducted or scheduled--ASK FOR IT.

WITHIN-GRADE INCREASE (WIGI)

In order to receive a WIGI, the Ratee's performance must be rated at Successful Level 3 or higher. If a Ratee's last rating of record was Level 4 or below and his/her performance has since improved to Level 3 or above, then a Special rating needs to be prepared and coordinated with the servicing civilian personnel

office (CPO) so the WIGI may be granted.

IMPROVEMENT PLANS

When a Ratee's performance is determined to be Unsuccessful (Level 5), then a Performance Improvement Plan (PIP) **must** be coordinated with the CPO in order to help the Ratee's performance improve to Successful Level 3. Performance rated Fair (Level 4) **does not** require a PIP, however, Raters should request the assistance of the CPO in helping the Ratee to improve his/her performance.

RECEIVING THE NEWSLETTER

Sources for the TAPES newsletter are: the servicing CPOs, some MACOM E-Mail channels, the PERSCOM Bulletin Board and INTERACT (an automated CPO network) for the latest two editions, *and now INTERNET* by accessing the World Wide Webb address for PERSCOM Online home page: <http://www-perscom.army.mil>. Look in the subject index under "C" or "T."

DON'T FORGET!

- To be considered timely, Evaluation Reports must be received in the CPO within 45 days after the end of the rating period.
- An approved (initialed and dated by the Senior Rater) performance plan ^{OR RATER, IF NO SENIOR RATER} must have been ^{USED} in effect for at least 120 days before a rating can be completed.
- Mid-point counseling is the responsibility of the Rater and a right of the Ratee.
- Senior Raters rate on performance *only*, not on potential.
- Performance plans for the Senior System must have each rated objective annotated with the appropriate performance level, e.g. E(Excellence), S(Success), etc.
- If the Rater or Ratee departs within 120 days of the end of the rating period, an annual rating should be prepared.
- The annotated performance plan must be attached to an Evaluation Report in order to be accepted for processing by the CPO.
- The Values section is the place to recognize Ratee contributions which go beyond specific work accomplishments.
- There is no minimum period of time before one may serve as a Rater or Senior Rater on an Evaluation Report.
- The TAPES HOT LINE (DSN 221-8009/COM (703) 325-8009) is operational to respond to any questions which cannot be resolved at the local level.

**MOST COMMON ERRORS ON A TAPES EVALUATION REPORT
(MUST BE RETURNED BY THE CPO)**

The following is reprinted from the October 1994 edition of the newsletter:

- Rater and Senior Rater box checks not in agreement, e.g. Rater checks Excellence Over 50% in Part VIa and Senior Rater checks Overall Performance Rating of Successful Level 2 in Part VIIIa.
- Failure to annotate objective ratings on the performance plan (use the annotations shown under "Don't Forget").

- Failure to attach the performance plan to the Evaluation Report.
- Failure to complete Senior Rater Profile and/or Profile incorrectly completed (e.g. "X" in box instead of a number).
- Performance plan not in effect 120 days.
- Senior Rater failure to initial and date performance plan.
- No specific objectives for Organizational Management/Leadership or Equal Employment Opportunity/Affirmative Action (EEO/AA) for supervisory/managerial positions.

EXAMPLES FROM EVALUATION REPORTS

OBJECTIVES (SUPPORT FORM) - SENIOR SYSTEM:

- * Get TSSAM Program back on track and keep it there to the extent that logistics is fully accomplished with the overall system program.
- * Act as the patients' advocate, to the extent possible, directing and leading them through the system when difficulties arise.
- * Complete 42 semester hours of college training at _____, maintaining a grade point average (GPA) of 3.0 ("B") out of a possible 4.0.
- * Evaluate, review and recommended revisions to center policies and procedures as needed NLT September. Ensure the center meets all inspections with at least a satisfactory rating.
- * Annotate academic records daily reflecting lessons accomplished, scores, and absences from training. Receive no more than two deficiencies per rating period from supervisor or quality assurance inspections.

INDIVIDUAL PERFORMANCE STANDARDS/KEY POINTS MADE (COUNSELING CHECKLIST) - BASE SYSTEM:

- * Funding documents must be accurate 95% of the time and completed within 2 working days after receipt of data.
- * Managers must be kept informed of funds and program status.
- * Transfer files to the new computer system and assist office personnel when required with transfer and set up of their computer files.
- * Develop a system to track all suspenses and notify personnel in a timely manner of

suspense due to ensure timely responses or follow-up to preclude delinquent suspenses.

* Keep accurate account of personnel time and attendance and input into MATES system.

VALUES/Part V:

- * Totally sincere and honest person who believes in and practices "team success".
- * Readily accepts hard to handle problems and does whatever is required to get the job done.
- * Her commitment and loyalty to her work, coworkers and customers is second to none.
- * Committed to program and provides outstanding service to the customer.
- * Maintains a "mission first attitude."

BULLET EXAMPLES/Part VIb (SENIOR SYSTEM EVALUATION REPORT):

- o Has outstanding working relationship with JT-UAV Project Office, logistic support team and other services.
- o Despite personnel losses, exceeded all expectations in product development and quality assurance.
- o Provided high quality on-the-job training to staff auditors.
- o Zero balances and inventories have been well above ____ and DA standards.
- o Very resourceful. Recently conducted a clothing reclamation sale which returned over \$84K to the Supply Management Army Fund.

BULLET EXAMPLES/PART Vb (BASE SYSTEM EVALUATION REPORT):

- | | |
|---|--|
| Technical Competence | <ul style="list-style-type: none"> o Provides advice and training to Directorate secretaries to ensure top notch administrative output. o Budget exercises and fund reports completed within assigned suspense dates and more than 90% accurate. |
| Adaptability and Initiative | <ul style="list-style-type: none"> o Independently researched problems and recommended solutions. o Took several classes to help develop skills and to find new innovative ways to assist the office. |
| Working Relationships & Communications | <ul style="list-style-type: none"> o Exceptional in dealing with a wide range of personnel seeking contact with the Director. o Ms. ____ is highly regarded by the personnel she supports as one who always goes the extra mile. |

**Responsibility &
Dependability**

- o Schedules routine leave after determining the level of support required during the planned absence.
- o Successfully follows up on taskers to ensure that work is completed on time and meets requirements.

BULLET COMMENTS (Performance/Potential)/Part VIII - Senior System:

- o High potential individual; should become a senior leader in _____.
- o Success oriented; focused on mission of organization and its goals.
- o Possesses branch chief potential.
- o Professional in all areas assigned. Not afraid to make the hard decisions.
- o Should get more AIC opportunities on larger type audits.

BULLET COMMENTS (Performance/Potential)/Part VI - Base System:

- o Outstanding ability to grasp situation and perform required course of action.
- o Very definite potential for increased responsibility.
- o A highly accomplished professional secretary who exceeds the standards for her position.
- o Works well with peers and management.
- o Self-motivated; always produces quality product in a timely manner.

!!!!!!!!!!!!!! N E W S B R E A K !!!!!!!!!!!!!!!

Last month the Department of Defense, Civilian Personnel Management Service released to CPOs disks containing the automated core document application (COREDOC Version 1.3). The COREDOC is an automated tool targeted for use by managers, supervisors, and personnelists (primarily position classification specialists). The objective of the COREDOC is to provide a step by step menu driven process by which the user is able to develop a position description, a list of skills, knowledges and abilities necessary for recruitment, a list of training competencies and the performance management plan.

At this time the performance plan module of the COREDOC is not compatible with TAPES; however, we are working with the COREDOC design team to ensure the next version (due out in the Fall of this year) is more in line with the requirements of TAPES. Currently, the performance management module of COREDOC cannot be used without extensive editing. Via Headquarters, Department of the Army message R 191220Z Jun 95, the field was notified **NOT TO USE THE PERFORMANCE PLAN SECTION OF COREDOC UNTIL FURTHER NOTICE.**

******* GOOD IDEAS *******

Elizabeth Bray, Personnel Advisor for the Criminal Investigation Command used the TAPES video to help train employees located at remote sites. Along with the video she provided a complete set of TAPES materials (e.g. pamphlet, regulation and newsletters).

Tammi Webb at the Reserve Component Automation System designed a handy guide to TAPES which includes rating period, the rating chain for the activity, and guidance on various requirements of the system.

Personnel specialists at Fort McPherson put out clarifying guidance on the requirement for Rater/Senior Rater agreement on performance ratings. This guidance not only discusses the process for resolving disagreements, but the pitfalls which might occur when the final rating does not reflect agreement.

Several CPOs have reported that they schedule refresher training on how to complete an Evaluation Report just prior to the end of a rating cycle--this approach ensures that the information is fresh in each Rater's mind.

Thanks to all of you who asked that the newsletter give more information on conduct, counseling and values. Your requests resulted in the three SIPs which appear in this edition on pages 8, 9, and 10 respectively.

RATER RESPONSIBILITIES
(from page 55 TAPES user guide)

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

Raters who live up to these responsibilities should have their success taken into consideration when their rating is prepared and those who don't should have that taken into consideration when their rating is prepared

**REMEMBER THAT COUNSELING (COMMUNICATING) IS IMPORTANT
AND IT NEEDS TO BE AN ONGOING OCCURRENCE.**

A TOTAL ARMY PERFORMANCE EVALUATION SYSTEM (TAPES)

SINGLE ISSUE PAPER

SUBJECT: CONDUCT vs. PERFORMANCE - WHEN DO THEY MEET?

1. When one's conduct impacts either positively or negatively on performance, it may be appropriate to address the results on an Evaluation Report. Before placing any comments on an Evaluation Report, it is imperative to ensure the following occurs:

a. The performance plan must document specific performance expectations in the area(s) the Rater wants to address. Example: Coordinates actions in an appropriate and timely manner ensuring all required information/input is received. Responsible for determining that the most effective/cost saving strategies are employed throughout a project's life cycle.

b. Counsel the Ratee when his/her behavior is effecting his/her performance. This gives time for the positive behavior to be reinforced or the negative behavior to be corrected before the end of the rating period.

c. Don't use the appraisal as the Ratee's first notice.

2. Using the performance expectation in paragraph 1a., here are two scenarios:

a. Cynthia works on several projects where points of contact (POCs) with competing interests must work together. She works hard to ensure POCs explore solutions aimed at mutual benefits. Cynthia's positive efforts were discussed during counseling and she continued to work with the same diligence. This comment was placed on Cynthia's Evaluation Report: Projects "ABC" and "DEF" were successful because the Ratee kept competing interests focused on mutually beneficial solutions.

b. Cynthia engages in argumentative behavior with several POCs to the extent that her conduct impedes progress on the projects. The matter was discussed with Cynthia but no positive change occurred. This comment was placed on Cynthia's Evaluation Report: The "ABC" and "DEF" projects were not completed in a timely manner due to the Ratee's inability to establish a positive and productive working relationship with project POCs.

3. Here are two scenarios showing whether or not attendance related problems (tardiness, Absence Without Leave (AWOL), leave abuse) can be addressed on an Evaluation Report:

a. Larry is tardy for work several times a month. Larry's supervisor states that while he would like to see Larry's attendance improve, his performance is not affected by his tardiness. Treat Larry's tardiness as a conduct problem.

b. Henry works in a mailroom and one of his responsibilities is to make a mail run at 0800 every morning (documented on his performance plan). Henry calls in several times a month saying he will be late for work. Someone else has to make the mail run when Henry is unavailable. The matter is discussed with Henry, but no change occurs. Here is an example of a comment that could be placed on Henry's Evaluation Report: On several occasions the mail run was not completed as scheduled.

4. Call the TAPES HOT LINE at DSN 221-8009 or COM (703) 325-8009 if you have any questions which cannot be resolved at the local level.

A TOTAL ARMY PERFORMANCE EVALUATION SYSTEM (TAPES)**SINGLE ISSUE PAPER****SUBJECT: COUNSELING - WHAT'S SO IMPORTANT ABOUT IT?**

1. The Office of Personnel Management (OPM) regulation on performance management (5 Code of Federal Regulations (5 CFR), Part 430) requires that employees be informed on performance expectations normally within 30 days of the beginning of the rating period and that a progress review shall be held for each employee at least once during the appraisal period. The TAPES regulation (AR 690-400, Chapter 4302) requires that employees be counseled at least twice during the rating period, i.e. within 30 days of the beginning of the rating period and again at the mid-point of the rating period. During initial counseling, the Rater provides the Ratee with information on the coming year's goals and objectives and the specific performance expectations that the Ratee will be held accountable for (the performance plan). During the mid-point, the Rater and Ratee have the opportunity to check to see that things are on track. The Rater provides the Ratee with an assessment of how he/she is performing in relation to the performance plan so that the Ratee's good performance will be reinforced or if there are any instances of performance below expectations, the Ratee will have time to pull up his/her performance before the end of the rating period.
2. Without counseling, the Ratee can only work under assumptions that may not be true. Direction must come from those in charge, i.e. Raters. Counseling is not just for when things are going poorly—with the majority of workers performing at better than average, things rarely go poorly. Counseling ensures that the quality of work desired by the rating chain is made known to the Ratee. Counseling helps ensure that the Ratee gets on track and stays on track. Without it, the Ratee is forced into second guessing what the Rater wants and then face being "penalized" when it's not delivered.
3. Successful Rater/Ratee partnerships result when each party lives up to his/her responsibility. Under TAPES, it is the Rater who is ultimately responsible for ensuring counseling occurs; however, the Ratee must be willing to ask for counseling if it does not occur. Managers should hold their subordinate Raters responsible for ensuring that counseling occurs.
4. **What's so important about counseling? It sets the guidelines for how well the work gets done—how well the mission is met. Without counseling, we're all just guessing about what's the right thing to do—and that's no way to ensure quality.**
5. Call the TAPES HOT LINE at DSN 221-8009 or COM (703) 325-8009 if you have any questions that can't be resolved locally.

TOTAL ARMY PERFORMANCE EVALUATION SYSTEM (TAPES)**SINGLE ISSUE PAPER****SUBJECT: VALUES IN THE WORKPLACE**

1. A great number of Evaluation Reports are reflecting positive comments about adherence to the Department of Army Values and Ethics. That's the good news. Despite the preceding, Values are not always a part of the counseling session as required in the TAPES regulation (AR 690-400, Chapter 4302). That's the bad news.
2. Discussing Values gives the Rater and Ratee a chance to define their meaning and explore examples of how they fit into the workplace. Values are an additive to performance, not a replacement for it. Values are the foundation of principles upon which the Army's culture is built. Remaining focused on these Values as one goes about doing the job enhances performance and makes the organization better and stronger.
3. The following guidance "defines" the Values as they relate to the workplace and is offered to help stimulate discussion.
 - a. **Commitment** - Dedicated to seeing an assignment through to completion
 - b. **Competence** - Keeping skills up/being the best at what one does
 - c. **Candor** - Being frank and open
 - d. **Courage** - Standing up for one's belief, even if the position is not a popular one
 - e. **Loyalty** - Steadfast allegiance to the organization and its goals
 - f. **Duty** - Doing what needs to be done (despite the difficulty)/accepting responsibility
 - g. **Selfless Service** - Putting duty before self-serving interests
 - h. **Integrity** - Honest and fair in word and deed
4. Values are important to the workplace because when supervisors and employees report to work focused on:
 - Always doing the best job possible
 - Practicing honesty and fairness
 - Caring about the organization and its goals
 - Speaking out about what's good for the organization
 - Placing organizational needs before personal gain

THE WORKPLACE IS BETTER SERVED!

?????? QUESTIONS FROM THE FIELD ??????

Q: When a Rater becomes unavailable to complete a rating, what is the Ratee's recourse?

A: Either the Intermediate Rater or the Senior Rater should complete the rating.

Q: What happens when a Ratee is on detail and the rating period ends?

A: Ratees on detail still officially occupy their former position and their Rater for that position is responsible for preparing an Annual rating.

Q: What happens when the Ratee is serving on a temporary promotion and the rating period ends?

A: The Rater for the position to which the Ratee was temporarily promoted should prepare an Evaluation Report. Ratees temporarily promoted officially occupy the position to which temporarily promoted.

Q: What should happen if a Ratee fails to list his/her significant contributions?

A: Explain that this section allows the Ratee an opportunity to ensure that the rating chain has the necessary information on accomplishments to complete his/her rating. If the Ratee refuses—type this statement in Part IVc of the Support Form: Ratee refused to submit information for this section. Proceed with completing the Evaluation Report based solely on the rating chain's input.

Q: How does one show that an objective will not be rated?

A: Draw a line through the objective, date and place the Rater's initials next to the phrase "not rated."

Q: Are Evaluation Reports complete without a performance plan attached?

A: No.

Q: What 's the purpose of a Special rating?

A: Special ratings provide an evaluation of the Ratee's performance for the period covered, e.g. while the Ratee was on detail or during the early part of the rating period before the new Rater arrived. They are attached to the Annual rating when it is forwarded to CPO. There are instances when the Special rating may be converted to the Annual rating when there is no other documented performance history for the rating period.

Q: Is there any instance in which a rating can be prepared when the Ratee has served *less than* 120 days under an approved performance plan?

A: Only when the Ratee is a family member serving on an overseas appointment.

~~**Q: Is the Senior Rater Profile recorded on Special ratings?**~~

~~**A: No.**~~