

Roadmap for  
Performance/Behavior  
Counseling and Evaluation  
for the  
Total Army Performance  
Evaluation System (TAPES)



Fort Jackson  
Directorate of Human Resources

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## ROAD MAP FOR PERFORMANCE/BEHAVIOR COUNSELING AND EVALUATION

This guide to performance/behavior counseling and evaluation is for usage by all supervisors in the Directorate of Human Resources at Fort Jackson. It is by no means all-inclusive. The Base System Civilian Performance Counseling Checklist/Record (DA Form 7223-1) and Senior System Civilian Evaluation Report Support Form (DA Form 7222-1) also provide a wealth of information concerning counseling for both the Rater and Ratee. At a minimum, though, all DHR supervisors will follow the guidelines set forth herein. An ongoing dialogue by all involved (supervisor and employee) is imperative and expected throughout the entire performance/behavior counseling and evaluation process. The following topic areas will be covered:

1. Planning and preparation by Ratee and Rater for Initial performance counseling.
2. Conducting Initial performance counseling.
3. Ongoing counseling and coaching throughout the rating period.
4. Planning and preparation by Ratee and Rater for Mid-point performance counseling.
5. Ongoing counseling and coaching throughout the rating period.
6. Planning and preparation by Ratee and Rater for Annual Performance Appraisal.
7. Conducting Annual Performance Appraisal. (Note: Rater will also conduct Initial performance counseling for the next rating period.)

## THE BASICS

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 must be timely. Counseling only at the end of the rating period is too late since misunderstandings that impact performance and work related behavior cannot be resolved in time for improvement before the next annual rating. Two counselings are required – Initial and Mid-point.

### (GS-08 and Below)

In the counseling of employees GS-08 and below:

- Use DA Form 7223-1, Base System Civilian Performance Counseling Checklist/Record.
- DA Form 7223-1 must be initialed and dated by Ratee, Rater, and Senior Rater.
- Additional sheets must contain which counseling (e.g., Initial Counseling, Later Counseling, Mid-point Counseling), contain Ratee's, Rater's and Senior Rater's names and rating period, and must be electronically attached to DA Form 7223-1.
- Provide completed copy of DA Form 7223-1 with any additional pages to the Ratee.
- Initial counseling must be conducted within 30 days of assignment/new rating period. (NOTE: The preferred method is to conduct Initial counseling of a new employee within the first week and conduct Initial counseling of veteran DHR employees immediately following (combined with) the Annual Performance Appraisal.)
- For the Initial Counseling of a new employee, provide a copy of appropriate position description to the Ratee.
- Annotate measurable objectives and any other main points of counseling.
- Mid-point counseling will be conducted at the mid-point of the rating period. (NOTE: Ask employee for a list of accomplishments – this will provide a stepping off point for the rater to explain how he/she would rate the subordinate as of the mid-point).
- Annual performance ratings will not be shared or discussed with the employee prior to the Annual Performance Appraisal to preclude the

appearance of a rater promising a certain rating to an employee prior to the rater securing the concurrence of the senior rater.

- Conducting Initial counseling for the next rating period immediately following the Annual Performance Appraisal provides a useful bridge from past performance to defining future goals and should be utilized if at all possible.

#### Understanding the DA Form 7223, Base System Civilian Evaluation Report:

- Responsibility Ratings:
  - Excellence – consistently exceeds standards
  - Success – meets standards set
  - Needs Improvement – sometimes performs below standards
  - Fails – frequently fails standards set
- Overall Ratings:
  - Successful Level 1 – rated EXCELLENCE in at least 3 of the responsibilities (non-supervisor); rated EXCELLENCE in at least 5 of the responsibilities, 1 must be Supervisor/Leadership or EEO/AA and SUCCESS in the remainder (supervisor)
  - Successful Level 2 – rated EXCELLENCE in at least 1 of the responsibilities (non-supervisor); rated EXCELLENCE in at least 2 of the responsibilities, 1 must be Supervisor/Leadership or EEO/AA and SUCCESS in the remainder (supervisor)
  - Successful Level 3 – rated SUCCESS in all responsibilities
  - Fair – rated NEEDS IMPROVEMENT in at least 1 responsibility and NOT rated FAILS in any
  - Unsuccessful – rated FAILS in at least 1 responsibility

#### (GS-09 and Above)

In the counseling of employees GS-09 and above:

- Use DA Form 7222-1, Senior System Civilian Evaluation Report Support Form.
- DA Form 7222-1 must be initialed and dated by ratee, rater, and senior rater.
- Additional sheets must contain which counseling (e.g., Initial Counseling, Later Counseling, Mid-point Counseling), contain Ratee's, Rater's and Senior Rater's name and rating period, and must be electronically attached to DA Form 7222-1.
- Provide completed copy of DA Form 7222-1 with any additional pages to the Ratee.

- Initial counseling must be conducted within 30 days of assignment/new rating period. (NOTE: The preferred method is to conduct Initial counseling of a new employee within the first week and conduct Initial counseling of veteran DHR employees immediately following (combined with) the Annual Performance Appraisal.)
- For the Initial counseling of a new employee, provide a copy of appropriate position description to the Ratee.
- Annotate measurable objectives and any other main points of counseling.
- Mid-point counseling will be conducted at the mid-point of the rating period. (NOTE: Ask employee for a list of accomplishments – this will provide a stepping off point for the rater to explain how he/she would rate the subordinate as of the mid-point).
- Annual performance ratings will not be shared or discussed with the employee prior to the Annual Performance Appraisal to preclude the appearance of a rater promising a certain rating to an employee prior to the rater securing the concurrence of the senior rater.
- Conducting Initial counseling for the next rating period immediately following the Annual Performance Appraisal provides a useful bridge from past performance to defining future goals and should be utilized if at all possible.

#### Understanding the DA Form 7222, Senior System Civilian Evaluation Report:

- Objective Rating:
  - Rate each objective on DA Form 7222-1 and mark appropriate box in Part VIa on DA Form 7222.
  - For supervisors/managers, mark appropriate box in Part VIa to indicate YES or NO for Excellence in Org Mgt/Ldshp or EEO/AA (specific objectives must appear on the support form).
- Overall Performance Rating:
  - Matches objective rating in Part VIa.
  - Successful Level 1 – objective rating of EXCELLENCE 75% OR MORE OBJ
  - Successful Level 2 – objective rating of EXCELLENCE 25-74% OBJ
  - Successful Level 3 – objective rating of SUCCESSFUL ALL or EXCELLENCE 1-24%
  - Fair – objective rating of NEEDS IMPROVEMENT 1 or MORE OBJ
  - Unsuccessful – objective rating of FAILS 1 or MORE OBJ

## SUPERVISOR RESPONSIBILITIES

To be successful, supervisors must:

- Communicate goals, standards and tasks clearly (measurable objectives).
- Ensure employees fully understand DHR policy letters (i.e. duty hours, break rules, dress code policy, cell phone policy, etc.)
- Give employees appropriate training and necessary resources to do their job. Assist employees in locating work-related skills improvement courses available on the internet at no cost. Assist employees in setting attainable goals.
- Provide employees feedback on a regular basis to ensure they know where they stand. Reinforce good performance and communicate poor/marginal performance as it occurs. If supervisors don't address poor/marginal performance when it occurs, the employee may take the "silence" as condoning the behavior.
- Encourage employees to be active participants in the counseling process. Ensure employees understand what you expect of them.
- Encourage employees to be team players, show a great attitude and great job execution.
- Ask employees to provide a list of their accomplishments before conducting their mid-point counseling and when it comes time to complete their rating.
- Keep a separate file on each employee and place documents to support rating (i.e., memos received for satisfactory ICE comments, emails identifying specific comments by customers, pages of correspondence where you made corrections, notes, etc.).

## INITIAL PERFORMANCE COUNSELING

### **Planning and Preparation** for Initial Counseling:

- Schedule the counseling session and notify the Ratee.
- Suggest the Ratee write down ideas about expectations, goals, and requirements.
- Be specific when discussing what is considered necessary for Success in each Value and Responsibility in Part V of DA Form 7223-1.
- Provide Ratee a copy of his/her position description (new employees only).

### **Purpose** of Initial Counseling (example opening comments):

- To set performance/conduct expectations and major performance objectives/individual performance standards. Discuss Ratee's position description.
- Our most important customers are the Soldiers, Command Group, Garrison Commander/CSM/Deputy Commanders, Directors, Family Members, Government Civilian Employees, Contractors, etc.
- Key point – I want both of us to be successful in the accomplishment of the mission of this directorate and our duties.
- I promise that I will do my part and would like for you to do the same.
- I will provide feedback on a continuous basis and will conduct, at a minimum, mid-point counseling.

### Example **Expectations** Items for Discussion:

- A day's work for a day's pay.
- Adhering/complying with hours of work and lunch hour.
- Enforcement of policies and rules.
- Loyalty/team player.
- Properly accounting and documenting leave for self.
- Try to plan/project leave usage in advance for the next 6 month period, (i.e. Jan thru Jun and Jul thru Dec, each year).
- To ensure the accomplishment of our mission, not more than 2 weeks leave will be taken at one time. Exceptions will be granted on a case-by-case basis.
- Stay Customer service focused and adhere to our Customer Service Plan. We must ALWAYS be customer service focused in everything we do. Taskings or communication with Command Group are very important.

### **Major Performance Objectives/Individual Performance Standards:**

- Cover each performance objective/individual performance standard applicable to the Ratee.
- Discuss what tasks and what level of performance is expected for Success.
- Provide examples of Excellence to give the Ratee specifics for which to aim.
- Review the Ratee's written input if he/she provides it.
- Ask the Ratee about career goals and training needs.
- Encourage discussion of the Ratee's future goals/objectives for his/her position and how the Ratee intends to reach these goals/objectives.
- Lastly, ask the Ratee what his/her expectations are of you.

## MID-POINT PERFORMANCE COUNSELING

### **Planning and Preparation** for Mid-Point Counseling:

- Schedule the counseling session and notify the Ratee.
- Have Ratee provide a list of accomplishments prior to counseling session.
- Tell the Ratee to come prepared to discuss accomplishments and review requirements and effectiveness of any completed training. Ratee's written input will be reviewed.
- Explain to the Ratee what rating you would give at the mid-point and why.

### **Purpose** of Mid-Point Counseling (example comments):

- To provide feedback on overall performance and accomplishments.
- Discuss what the Ratee has done, what was done well, what could have been done better and why.
- Ratee should leave this counseling knowing where he/she would be rated at that time and what he/she needs to do in the future to be even better.
- Discuss job requirements and areas of special emphasis and priorities that have changed or are new. Ask the Ratee if he/she is having problems and needs help.
- Reiterate desire for both parties to be successful in the accomplishment of duties.

### **Example Observations and Expectations:**

- Things you do well: Very customer service oriented/focused, a team player, loyal, great people skills, know how to get things done, require little supervision, care about doing a good job, complete actions/tasks in a timely manner, keep track of suspenses, answer/address what is asked of you, do things without being told – proactive, and you keep me informed.
- Things you need to work on: We all need to stay focused on attention to detail and follow up.
- My expectations of you are to continue to focus on ways to improve your knowledge, skills and ability. Continue to focus on ways to improve the work center and the DHR.

### **Major Performance Objectives/Individual Performance Standards:**

- How would you rate yourself on each of your performance objectives/individual performance standards and why?
- Give examples of Excellence that occurred or could have occurred.
- What are your future goals and objectives in your position and how do you intend to reach these goals?
- Discuss the Ratee's career goals, the effectiveness of training, and the Ratee's potential to perform higher level or different tasks.
- Lastly, ask the Ratee what his/her expectations are of you.

## ANNUAL PERFORMANCE APPRAISAL

### **Planning and Preparation** for Annual Performance Appraisal:

- Schedule the counseling session and notify the Ratee that after the Annual Performance Appraisal concludes you will continue into the Initial Counseling for the next rating period.
- Have Rater provide a list of accomplishments prior to performance appraisal session.
- Suggest the Ratee write down ideas about expectations, goals, and requirements for the next rating period.

### **Purpose** of Annual Performance Appraisal (example comments):

- To provide feedback on your overall performance and accomplishments.
- To start plotting a course for success in the next rating period.

### **Major Performance Objectives/Individual Performance Standards:**

- Discuss assessment of Performance Objectives/Individual Performance Standards:
  - Objective/Standard: Excellence rating because you are knowledgeable in all areas of the work center and accomplished your program's mission requirements in an excellent manner.
  - Objective/Standard: Excellence rating because your work center achieved an accuracy rate of 98%, well above the prescribed standard of higher headquarters.
  - Objective/Standard: Excellence rating because your work center led TRADOC in usage rate with over 95%, exceeding the standard of 85%
  - Objective/Standard: Customer Service – Your Success rating on this standard is attributed to an inadequate internal relationship between the two of us. Examples:
    - Use of official time to attend non-work related functions – a situation that occurred several times after it was first discussed.
    - Allowing subordinates to attend non-work related functions on official time.
    - Not following and enforcing DHR rules and policies.
    - Being at work beyond duty hours after I asked you to discontinue this practice
  - Objective/Standard: Success rating for Routine and Suspense actions – although you completed most actions without obtaining an extension, some of these actions did not follow my guidance and were not thorough:
    - I had to do my own research to get a clear understanding of a certification requirement pertinent to only your program.
    - TDY trip snafu.
    - Not allowing your subordinate supervisor to perform his duties and responsibilities.
    - Not following required procedures for overtime and/or comp time for employees.
  - Objective/Standard: Success rating for Resource Management Requirements – During FY 05 your area's IMPAC credit purchases were being certified by an unauthorized person. You were provided an email with correct procedures and were also personally counseled by me reference this issue, yet it still continued.
- Lastly, ask the Ratee if he/she has any questions/concerns about the Annual Performance Appraisal.

Following a short break, if necessary, the Initial Counseling for the next rating period should occur immediately following the Annual Performance Appraisal. Consolidating these two events provides goodness in that a discussion about future goals or questions concerning job requirements will naturally flow out of the Annual Counseling.

All the same regulatory rules apply for this Initial Counseling as one conducted at a separate date and time.

### Determining Appraisal Rating (GS-08 & Below – Non-supervisors)

- 4 Responsibilities: Technical Competence; Adaptability and Initiative; Working Relationships & Communications; and Responsibility and Dependability
- Measurable objectives align with each responsibility
- Annotate beside each measurable objective an E for excelled, S for met, NI for needs improvement or F for failed
- Count the total number of measurable objectives for each responsibility
- Count the total number of “E” marks for each responsibility
- Divide the total number of “E” marks by the total number of measurable objectives to determine rating for that responsibility (e.g., 3 “E” divided by 5 measurable objectives = 60%)
- Responsibility Rating:
  - 50% or higher “E” marks = Excellence
  - All “S” or less than 50% “E” marks = Success
  - At least one “NI” mark = Needs Improvement
  - At least one “F” mark = Fails
- Overall Rating determined by Responsibility ratings

### Determining Appraisal Rating (GS-08 & Below – Supervisors)

- 6 Responsibilities: Technical Competence; Adaptability and Initiative; Working Relationships & Communications; Responsibility and Dependability; Supervision and Leadership; and EEO and Affirmative Action
- Measurable objectives align with each responsibility
- Annotate beside each measurable objective an E for excelled, S for met, NI for needs improvement or F for failed
- Count the total number of measurable objectives for each responsibility
- Count the total number of “E” marks for each responsibility

- Divide the total number of “E” marks by the total number of measurable objectives to determine rating for that responsibility (e.g., 3 “E” divided by 5 measurable objectives = 60%)
- Responsibility Rating:
  - 50% or higher “E” marks = Excellence
  - All “S” or less than 50% “E” marks = Success
  - At least one “NI” mark = Needs Improvement
  - At least one “F” mark = Fails
- Overall Rating determined by Responsibility ratings

## WRAP-UP

### PROCESS FROM INITIAL COUNSELING TO APPRAISAL (GS-08 & Below)

- Initial Counseling within 30 days of arrival (preferably one week of arrival) or beginning of new rating period; complete Initial block on DA Form 7223-1; must be initialed by Ratee, Rater and Senior Rater
- Mid-point Counseling half way between Initial Counseling and End of Rating Period; complete Midpoint block on DA Form 7y223-1; must be initialed by Ratee, Rater and Senior Rater
- Appraisal to be submitted to Adjutant General/Administrative Officer for review BEFORE signatures NLT the 15<sup>th</sup> of the month following the end date; end date is employee's birth month
- After Adjutant General/Administrative Officer review, appraisal to be electronically signed and sent to Administrative Officer for processing NLT the last work day of the month following the end date

### PROCESS FROM INITIAL COUNSELING TO APPRAISAL (GS-09 – GS-12)

- Initial Counseling within 30 days of arrival (preferably one week of arrival) or beginning of new rating period; complete Part IVb on DA Form 7222-1; must be initialed by Ratee, Rater and Senior Rater
- Mid-point Counseling half way between Initial Counseling and End of Rating Period; complete Midpoint block on DA Form 7222-1; must be initialed by Ratee, Rater and Senior Rater
- Appraisal to be submitted to Adjutant General/Administrative Officer for review BEFORE signatures NLT the 15<sup>th</sup> of the month following the end date; end date is 31 Oct
- After Adjutant General/Administrative Officer review, appraisal to be electronically signed and sent to Administrative Officer for processing NLT the last work day of the month following the end date

PROCESS FROM INITIAL COUNSELING TO APPRAISAL  
(GS-13 & Above)

- Initial Counseling within 30 days of arrival (preferably one week of arrival) or beginning of new rating period; complete Part IVb on DA Form 7222-1; must be initialed by Ratee, Rater and Senior Rater
- Mid-point Counseling half way between Initial Counseling and End of Rating Period; complete Midpoint block on DA Form 7222-1; must be initialed by Ratee, Rater and Senior Rater
- Appraisal to be submitted to Adjutant General/Administrative Officer for review BEFORE signatures NLT the 15<sup>th</sup> of the month following the end date; end date is 30 Jun
- After Adjutant General/Administrative Officer review, appraisal to be electronically signed and sent to Administrative Officer for processing NLT the last work day of the month following the end date

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STEPS TO COMPLETE INITIAL COUNSELING  
(GS-08 & Below)

- Complete first page and Initial block on second page of DA Form 7223-1
- Since measurable standards/objectives won't fit in Key Point Made block, put comment in Key Points Made block to show continuation of counseling (e.g., Continued on attached)
- Continuation of measurable standards/objectives to be completed on Word document
- Attach continuation sheet of measurable standards/objectives to DA Form 7223-1
- Ratee, Rater and Senior Rater electronically initial

STEPS TO COMPLETE INITIAL COUNSELING  
(GS-09 – GS-12)

- Complete first page of DA Form 7222-1
- Since measurable standards/objectives won't fit in Part IVb, put comment at the bottom of Part IVb to show continuation of counseling (e.g., Continued on attached)
- Continuation of measurable standards/objectives to be completed on Word document

- Attach continuation sheet of measurable standards/objectives to DA Form 7222-1
- Ratee, Rater and Senior Rater electronically initial

STEPS TO COMPLETE INITIAL COUNSELING  
(GS-13 & Above)

- Complete first page of DA Form 7222-1
- Since measurable standards/objectives won't fit in Part IVb, put comment at the bottom of Part IVb to show continuation of counseling (e.g., Continued on attached)
- Continuation of measurable standards/objectives to be completed on Word document
- Attach continuation sheet of measurable standards/objectives to DA Form 7222-1
- Ratee, Rater and Senior Rater electronically initial

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STEPS TO COMPLETE MID-POINT COUNSELING  
(GS-08 & Below)

- Complete Midpoint block on second page of DA Form 7223-1
- Ratee, Rater and Senior Rater electronically initial
- NOTE: To be completed half way between Initial Counseling and Appraisal End Date; appraisal end date is employee's birth month

STEPS TO COMPLETE MID-POINT COUNSELING  
(GS-09 – GS-12)

- If any continuation of counseling and separate from Initial Counseling
- Ratee, Rater and Senior Rater electronically initial
- NOTE: To be completed half way between Initial Counseling and Appraisal End Date; appraisal end date is 31 Oct

STEPS TO COMPLETE MID-POINT COUNSELING  
(GS-09 – GS-12)

- If any continuation of counseling and separate from Initial Counseling
- Ratee, Rater and Senior Rater electronically initial
- NOTE: To be completed half way between Initial Counseling and Appraisal End Date; appraisal end date is 30 Jun

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STEPS TO COMPLETE APPRAISAL  
(GS-08 & Below)

- Request list of accomplishments from employee on a Word document
- Complete DA Form 7223
- Annotate beside each standard/objective on the DA Form 7223-1 and continuation sheet with an E for excelled, S for met, NI for needs improvement or F for failed
- Mark appropriate rating for each Responsibility block (based on “Determining Appraisal Rating” above)
- Mark Overall Performance Rating IAW TAPES Guidelines
- Submit Appraisal to Adjutant General/Administrative Officer NLT the 15<sup>th</sup> of the following month after end date (employee’s birth month) for review
- After returned from Administrative Officer for signatures, Rater and Senior Rater electronically sign Appraisal
- Rater discusses Appraisal with Ratee
- Rater sends Appraisal to Ratee to be electronically signed
- Rater submits completed DA Form 7223 to Administrative Officer NLT last work day of the month after end date for processing

STEPS TO COMPLETE APPRAISAL  
(GS-09 – GS-12)

- Request list of accomplishments from employee on DA Form 7222-1
- Complete DA Form 7222
- Annotate beside each standard/objective on the DA Form 7222-1 and continuation sheet with an E for excelled, S for met, NI for needs improvement or F for failed
- Mark appropriate rating
- Mark Overall Performance Rating IAW TAPES Guidelines

- Submit Appraisal to Adjutant General/Administrative Officer NLT the 15<sup>th</sup> of the following month after end date (31 Oct) for review
- After returned from Administrative Officer for signatures, Rater and Senior Rater electronically sign Appraisal
- Rater discusses Appraisal with Ratee
- Rater sends Appraisal to Ratee to be electronically signed
- Rater submits completed DA Form 7222 to Administrative Officer NLT last work day of the month after end date for processing

STEPS TO COMPLETE APPRAISAL  
(GS-13 & Above)

- Request list of accomplishments from employee on DA Form 7222-1
- Complete DA Form 7222
- Annotate beside each standard/objective on the DA Form 7222-1 and continuation sheet with an E for excelled, S for met, NI for needs improvement or F for failed
- Mark appropriate rating
- Mark Overall Performance Rating IAW TAPES Guidelines
- Submit Appraisal to Adjutant General/Administrative Officer NLT the 15<sup>th</sup> of the following month after end date (30 Jun) for review
- After returned from Administrative Officer for signatures, Rater and Senior Rater electronically sign Appraisal
- Rater discusses Appraisal with Ratee
- Rater sends Appraisal to Ratee to be electronically signed
- Rater submits completed DA Form 7222 to Administrative Officer NLT last work day of the month after end date for processing