

CONTROL FORM FOR DOE/ORO DIRECTIVE

PART A (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

1. DIRECTIVE NUMBER, TITLE, AND DATE:

ORO O 330, CHAPTER IV, CHANGE 1, MANAGERIAL AND SUPERVISORY PERFORMANCE MANAGEMENT SYSTEM, dated 05/01/2007

2. PURPOSE OF TRANSMITTAL: New Directive Revised Directive Revised Control Form

3. DOES THIS DIRECTIVE CANCEL OR EXTEND ANY OTHER DIRECTIVES? Yes No
If "Yes," list what action (cancel or extend) and list the Directive(s) number(s), title(s), and date(s):

This Directive cancels and replaces ORO O 330, Chapter IV, MANAGERIAL AND SUPERVISORY PERFORMANCE MANAGEMENT SYSTEM, dated 04/01/2004.

The attached Directive is forwarded for review and action. Complete Part B and forward a completed hard copy of this form to ORO DMG, AD-440, by **05/16/2007**.

PART B (To be completed by the DIVISION OF PRIMARY INTEREST [DPI]):

COMPLETE FOR DOE DIRECTIVES ONLY:

4. SUPPLEMENTAL ORO DIRECTIVE REQUIRED?

Is a new or revised supplemental ORO Directive required? Yes No

If "Yes," target date for submission of supplemental ORO Directive is _____.

COMPLETE FOR BOTH DOE AND ORO DIRECTIVES:

5. CONTRACTOR APPLICABILITY.

Does this Directive affect the work performed by ORO Contractors? Yes No

If "Yes," whom? Bechtel Jacobs Company LLC ORAU

UT-Battelle, LLC ISOTEK (Bldg. 3019, ORNL)

Foster Wheeler (FWENC)

Other Contractors (list by name)

6. SUBJECT MATTER EXPERT: Phil Barker Federal Human Resources Branch, AD-442
Name Organization

Original Signed By

7. APPROVED BY: Melanie Kent, Chief Federal Human Resources Branch, AD-442 05/01/2007
Signature Organization Date

PART C (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH OFFICIAL DIRECTIVE DISTRIBUTION LIST:

Original Signed By

Wayne H. Albaugh

05/01/2007

DMG Team Leader, AD-440

Date

INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED.

(Revised 02/10/2006)

U.S. Department of Energy

Oak Ridge Office

ORO O 330 Chapter IV Change 1

DATE: 05/01/2007

SUBJECT: MANAGERIAL AND SUPERVISORY PERFORMANCE MANAGEMENT SYSTEM

1. PURPOSE. This Chapter correlates to DOE O 331.1B, Change 1, EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM, dated March 14, 2001. This Chapter establishes the requirements and responsibilities for the administration and operation of a performance management system for managers and supervisors. This includes criteria for performance appraisals, performance-related recognition, and other actions related to performance management. Nothing in this issuance changes any requirements contained in any Department of Energy (DOE) Directive.
2. CANCELLATION. This Chapter cancels and replaces ORO O 330, Chapter IV, MANAGERIAL AND SUPERVISORY PERFORMANCE MANAGEMENT SYSTEM, dated April 1, 2004.
3. APPLICABILITY. The provisions of this Chapter apply to all Federal managers and supervisors of the Oak Ridge Office (ORO) and those organizations for which the ORO Human Resources Division (SHRO) who:
 - a. Meet the General Schedule Supervisory Guide (GSSG) definition of manager and supervisor and who are at grade or salary levels below Senior Executive Service; or
 - b. Are appointed to the excepted service (EK or EJ) at Pay Band V and below and who meet the GSSG definition of manager and supervisor.
4. RESPONSIBILITIES.
 - a. Deputy Manager, ORO.
 - (1) Serves as Rating Official for employees reporting directly to the Office of the Manager, ORO.
 - (2) Serves as Reviewing Official for those employees appraised by the members of the Principal Staff who report directly to the Office of the Manager, ORO.
 - (3) Ensures that Departmental requirements for safety-related performance elements and criteria are included in performance plans for employees reporting directly to the Office of the Manager, ORO.

- b. Assistant Manager for Environment, Safety, and Health (AMESH).
 - (1) As requested by other managers and supervisors, reviews draft safety-related performance elements and criteria to ensure that Departmental requirements are met.

- c. Assistant Managers, ORO.
 - (1) Ensure that functions, assignments, and responsibilities related to nuclear safety and expectations related to Integrated Safety Management Systems (ISMS) are included in performance standards as appropriate for employees assigned such duties.
 - (2) Ensure that Departmental requirements for safety-related performance elements and criteria are included in performance plans for all employees reporting directly to them and for those employees for whom they serve as Reviewing Officials.
 - (3) Serve as Rating Officials for those employees reporting directly to them.
 - (4) Serve as Reviewing Official for those employees one level below them.
 - (5) In consultation with subordinate supervisors and managers, develop one critical element and the corresponding sub-elements that addresses individual performance on key programmatic accomplishments.

- d. Supervisors and Managers, ORO; OSTI; and Serviced Organizations.
 - (1) Ensure that functions, assignments, and responsibilities related to nuclear safety and expectations related to ISMS are included in performance standards as appropriate for subordinate supervisors assigned such duties.
 - (2) Ensure that Departmental requirements for safety-related performance elements and criteria are included in performance plans for all employees reporting directly to them and for those employees for whom they serve as Reviewing Officials.
 - (3) Serve as Rating Officials for those employees reporting directly to them.
 - (4) Serve as Reviewing Official for those employees one level below them.
 - (5) In consultation with subordinate supervisors, develop one critical element and the corresponding sub-elements that address individual performance on key programmatic accomplishments.

- e. Director, Human Resources Division.
 - (1) In conjunction with regulatory and Departmental requirements, develops and coordinates implementations of the ORO/OSTI Managerial and Supervisory Performance Management System.
 - (2) Coordinates with Rating Officials, and the appropriate Assistant Manager, ORO, to develop an approach to improve performance, if needed.

- (3) Assists Rating Officials and employees in developing key programmatic performance elements.
 - e. Managerial and Supervisory Employees provide their Rating Officials with a written self-assessment, if requested, which addresses performance elements and describes specific accomplishments during the rating period.
5. REQUIREMENTS AND PROCEDURES. Program requirements and processes for the Managerial/Supervisory Appraisal Process are described in the attachments to this Chapter.
6. REFERENCES.
 - a. Title 5, CFR, Part 531, PAY UNDER THE GENERAL SCHEDULE, Subpart E, “*Quality Step Increases*”.
 - b. Title 5, CFR 550, PAY ADMINISTRATION (GENERAL).
 - c. DOE Policy Document Modification, PERFORMANCE MANAGEMENT SYSTEM FOR MANAGERS AND SUPERVISORS, Chapter I, dated September 11, 2002.
 - d. DOE O 311.1B, EQUAL EMPLOYMENT OPPORTUNITY AND DIVERSITY PROGRAM, dated February 12, 2003, and any subsequent revisions.
 - e. DOE O 342.1, GRIEVANCE POLICY AND PROCEDURES, dated February 2, 2006, and any subsequent revisions.
 - f. DOE 3750.1, Change 6, WORK FORCE DISCIPLINE, dated August 21, 1992, and any subsequent revisions.
 - g. ORO O 320, Chapter XI, PAY AND LEAVE ADMINISTRATION AND HOURS OF DUTY, dated June 12, 2003, and any subsequent revisions.
 - h. ORO O 330, Chapter II, Change 4, INCENTIVE AWARDS, dated September 12, 2006, and any subsequent revisions.
 - i. ORO O 340, Chapter II, Change 4, GRIEVANCE POLICY AND PROCEDURES, dated September 28, 2006, and any subsequent revisions.
 - g. Memorandum from Claudia A. Cross to Human Resources Directors, Subject: POLICY CHANGE IN THE MANAGERS/SUPERVISORS PERFORMANCE MANAGEMENT SYSTEM, dated February 1, 2006.
7. DEFINITIONS. None.
8. CONTRACTOR REQUIREMENTS DOCUMENTS. None.
9. ATTACHMENTS.
 - a. Attachment 1 – Managerial/Supervisory Performance Appraisal System Program Requirements.

- b. Attachment 2 – Managerial/Supervisory Performance Appraisal Plan Form and Critical Element II - Managerial/Supervisory Attributes.
- c. Attachment 3 – Managerial/Supervisory Performance Appraisal Progress Review Form.
- d. Attachment 4 – Managerial/Supervisory Performance Appraisal Annual Summary Rating Form and Instructions.
- e. Attachment 5 – Managerial/Supervisory Performance Appraisal and Critical Element I – Detail/Temporary Promotion Sub-Element Form.

MANAGERIAL/SUPERVISORY PERFORMANCE APPRAISAL SYSTEM PROGRAM REQUIREMENTS

1. PERFORMANCE APPRAISAL PLANS.

- a. Performance Elements and Standards. All managerial and supervisory performance appraisal plans will:
 - (1) Contain a maximum of two elements, both of which are critical. One of these elements and the corresponding sub-elements will address individual performance on key programmatic accomplishments. The other element and its corresponding sub-elements will address clusters of managerial attributes that each employee should demonstrate. This element and its sub-elements are defined in Attachment 2 of this Chapter.
 - (2) Specify the following four performance levels to be used in assessing performance on the two critical elements: (1) "Significantly Exceeds Expectations," (2) "Meets Expectations," (3) "Needs Improvement," and (4) "Fails to Meet Expectations." These four levels will also be used to describe the annual summary rating.
 - (3) Have performance standards established at the "Meets Expectations" level for both critical elements.
 - (4) Be reviewed by one level higher than the Rating Official.
 - (5) Be recorded on the form identified as Attachment 2 of this Chapter.
- b. Criteria for Critical Element I – Program Accomplishments. The titles for the critical element may differ according to the program accomplishment. This element will:
 - (1) Be directly linked to the supervisor's organizational strategic plan and, as appropriate, the performance plan of the employee's Rating and Reviewing Officials.
 - (2) Consist of between two and five critical sub-elements, with each sub-element describing specific and measurable activity and/or work product.
 - (3) Have equally weighted sub-elements.
 - (4) Have the performance standard for all sub-elements written at the "Meets Expectations" level.
- c. Criteria for Critical Element II – Managerial/Supervisory Attributes.
 - (1) This element contains five clusters of personal behavioral attributes that contribute to the successful performance as a manager or supervisor and are described in Attachment 2 of this Chapter.
 - (2) All clusters are to be used to the maximum extent and are to be weighted equally.

d. Communication of Elements and Standards.

- (1) A performance appraisal plan must be submitted for the employee within 30 calendar days after a personnel action occurs that significantly changes the employee's duties and responsibilities.
- (2) Elements and standards must be reviewed, finalized, and agreed to by the Reviewing Official prior to being given to the employee.
- (3) If the employee refuses to sign his/her performance plan, the Rating Official will sign the plan documenting the refusal, and the plan will become effective with the Rating Official's signature.

2. PERFORMANCE APPRAISAL SYSTEM SCHEDULE.

- a. The performance appraisal cycle will run from October 1 through September 30 of the following year.
- b. Employees must have a performance plan in place for at least 90 calendar days prior to the end of the rating cycle in order to receive a performance appraisal. Likewise, the Rating Official must have been in the employee's supervisory chain for at least 90 calendar days prior to the end of the rating period. When a rating cannot be prepared for either of these reasons, the appraisal period will be extended for the amount of time necessary to meet these requirements and the rating prepared at that time.
- c. By no later than October 15, the performance of each manager and supervisor is to be rated and an updated plan submitted and certified for the upcoming performance appraisal cycle.
- d. Formal progress reviews will be conducted 6 months after the beginning of the rating cycle, generally during the month of April.

3. PERFORMANCE APPRAISAL RATING PROCESS.

- a. Employees are encouraged to provide their Rating Officials with a written self-assessment. The self-assessment is optional; however, it does afford the opportunity to determine areas of agreement and non-agreement between the employee and the Rating Official.
- b. The overall rating will be determined using the instructions contained in Attachment 4 of this Chapter. Each individual sub-element is to receive a rating of one of the four specified performance levels.
- c. Only those sub-elements where the employee has had the opportunity to demonstrate performance will be rated. A notation of "Not Rated" will be given for any sub-element(s) where an opportunity for demonstrated performance was not provided.
- d. The Rating Official will develop the performance evaluation and will reach agreement with the Reviewing Official. Both Officials will sign the "Annual Summary Rating and Signatory Approvals" Form in Attachment 4 of this Chapter.

- e. The Rating Official will then meet with the employee to discuss the performance evaluation rating.
- f. The employee will have 5 workdays to sign the rating. The employee may file written comments regarding his/her performance rating. These comments will be given full and fair consideration and maintained with the performance rating in the employee's official performance file.
- g. An employee may choose not to sign the performance rating. If the employee refuses to sign the performance rating, the Rating Official will sign the rating and document the employee's refusal. The rating will remain valid.

4. PROGRESS REVIEWS.

- a. Progress reviews will be conducted 6 months after the beginning of the rating cycle and will be documented on Attachment 3 of this Chapter. The progress review will be signed by the Rating Official and the supervisor/manager being evaluated.
- b. The Rating Official and the supervisor/manager should use the progress review as an opportunity to discuss performance accomplishments to date and performance expectations for the remainder of the performance year.
- c. Performance feedback is expected to be an ongoing process. Rating Officials and the supervisor/manager are to discuss work assignments and expectations as often as either party feels such a discussion is needed.

5. DEVIATIONS FROM THE APPRAISAL PROCESS.

a. Position Changes.

- (1) A supervisor/manager will receive a new performance appraisal plan within 30 calendar days of entering a new position, or when significant changes are made to the existing duties and responsibilities.
- (2) A supervisor/manager who changes positions within 90 calendar days of the end of the rating period will receive a rating of record based on the last performance appraisal plan in place for the 90 calendar days prior to the position change. The rating will be prepared by the former Rating Official.
- (3) A supervisor/manager who changes positions more than 90 calendar days from the end of the rating cycle will receive a performance plan for the new position and will receive a rating of record under the new performance appraisal plan at the end of the rating cycle or after 90 calendar days, whichever is later.

b. Transfers.

- (1) A supervisor/manager who transfers from another agency or Departmental element within 90 calendar days of the end of the rating cycle will receive a rating of "Meets Expectations" as the rating of record for that performance appraisal cycle provided s/he have not already received a rating of record for the cycle from the former employer. If a rating of record has already been given for the current cycle from the former employer, it may be transferred as the official rating to Oak Ridge Office (ORO) or Office of Scientific and Technical Information (OSTI) provided it is documented in writing and based on an approved written performance appraisal plan.
- (2) A supervisor/manager who transfers out of the agency or Departmental element within 90 calendar days of the end of the rating cycle is to receive a rating of record before his/her departure.

c. Supervisory Changes.

- (1) When a Rating Official leaves within 90 calendar days of the end of the rating cycle, s/he will prepare a rating of record for those employees who have served in the same position and have been on a performance appraisal plan for at least 90 calendar days.
- (2) An acting supervisor, based on designation through a formal detail or temporary promotion, may appraise the performance of employees as a Rating Official if the supervisor has supervised the subordinate supervisor/manager for a minimum of 90 calendar days immediately prior to the rating. Acting supervisors may also provide progress reviews as appropriate.
- (3) An acting supervisor may sign performance appraisal plans as the Rating or Reviewing Official without regard to the length of time served in the acting capacity.
- (4) An acting supervisor may sign a performance appraisal rating as the Reviewing Official without regard to the length of time served in the acting capacity and without regard to the rating being issued.

d. Details or Temporary Promotions.

- (1) If a supervisor/manager is detailed or temporarily promoted to another position for 90 calendar days or longer, but it is anticipated that the temporary action will be less than 6 months, s/he will have the additional sub-element form supporting the detail or temporary promotion, Attachment 5 of this Chapter, added to the current performance appraisal plan. The employee, the Rating Official, and the Reviewing Official for the gaining organization will sign the supplemental sub-element.
- (2) If Attachment 5 of this Chapter is used, it will be forwarded to the Human Resources Division by the gaining Rating Official and will be included in the employee's performance appraisal file.
- (3) For temporary actions lasting less than 6 months, the Rating Official of the gaining organization will serve as the Rating Official for the supplemental sub-element

supporting the detail or temporary promotion. The employee's Rating Official of record will continue to serve as the employee's Rating Official and will incorporate the supplemental sub-element into the employee's summary rating of record.

- (4) If a supervisor or manager is detailed or temporarily promoted to another position for 90 calendar days or longer and it is anticipated that the temporary action will last more than 6 months, or as soon as it is known that the action will last more than 6 months, s/he will be placed on a new performance appraisal plan for the temporary position.
- (5) For temporary actions lasting longer than 9 months during the appraisal period, a full performance appraisal will be completed by the supervisor of the temporary assignment in accordance with procedures contained herein. This rating will serve as the rating of record for the appraisal period.
- (6) For temporary actions lasting more than 6 months, but less than 9 months, the decision to complete a rating using the supplemental sub-element or the complete performance plan will be based on how long the performance plan for the temporary assignment was in place. If the plan was in place for 90 calendar days or more, the complete plan will be used and a full appraisal will be completed. If the plan was in place for under 90 calendar days, the supplemental sub-element will be used. In either case, the employee's Rating Official of record will continue to serve as the employee's Rating Official and will incorporate the supplemental sub-element or other rating into the employee's summary rating of record.

6. OPPORTUNITY TO IMPROVE.

- a. Constructive Feedback. If at anytime the Rating Official feels the employee's performance is indicating consistent deficiencies in meeting expectations described in performance sub-elements, the Rating Official will discuss these deficiencies with the employee. The Rating Official and employee together will develop actions to correct the deficiencies.
- b. Performance Improvement Plan. A PIP must be established if, at any time, an employee's performance is determined to be deficient to the extent that it consistently fails to meet expectations.
 - (1) Purpose. A PIP will be used by the Rating Official to establish an opportunity for the employee to improve substandard performance and is not intended to be punitive. The PIP will:
 - (a) Officially notify an employee of the need to improve performance;
 - (b) Identify specific performance deficiencies;
 - (c) Inform an employee of how performance may be improved;
 - (d) Identify what the employer will do to assist the employee in improving his/her performance;

- (e) Communicate potential consequences of substandard performance; and
 - (f) Establish a time frame for observing and re-evaluating performance.
- (2) Content. A PIP must be highly individualized and reflect specific performance deficiencies and improvement needed. The PIP must include the following:
- (a) Employee's name, title, series, grade, and organizational location.
 - (b) Length of the opportunity period. The PIP will state the time allowed for improvement. Opportunity periods will be at least 90 calendar days duration. The established length of the period will be sufficient to allow the employee a reasonable time to demonstrate improved performance, while at the same time continuing to perform normal duties and responsibilities.
 - (c) Identification of deficiencies and actions required to improve. The employee will be informed in writing of performance deficiencies in relation to a specific performance sub-element and the specific performance needed to achieve a rating of at least "Meets Expectations." Deficiencies must be limited to performance during the current appraisal period. Any unclear performance standards will be clarified, if necessary. No additional duties or expectations will be added under the PIP.
- (3) Feedback, Ratings, and Management Assistance.
- (a) The PIP must include at least one date at approximately the midpoint of the opportunity period on which a formal progress review will be provided to the employee. Employees may request more frequent progress reviews.
 - (b) Continued feedback is an important component of an opportunity period and the Rating Official will provide an appropriate level of assistance to help the employee improve performance. This assistance may include counseling, closer supervision, training, more frequent informal feedback, assistance in organizing or prioritizing workload, or examples of acceptable work products. As with regular performance appraisals, the employee will be given the opportunity to submit written comments regarding his/her performance for consideration by his/her Rating and Reviewing Officials.
- (4) Possible Consequences of Substandard Performance. The PIP must advise the employee that continued performance which fails to meet expectations will result in the denial of the next within-range increase (formerly within-grade increase). Employees must further be advised that such performance may result in a performance-based action which may include reassignment, reduction in grade, or removal.

- (5) Completion of the Opportunity Period. Upon completion of the opportunity period, the employee must be afforded an opportunity to discuss performance and will receive a written evaluation of his/her performance during the period.
 - (a) Performance improves. The PIP will be removed from the employee's official performance file after 1 year of improved performance or upon transfer outside the Department, whichever comes first. The employee will be notified by memorandum of the results of his/her PIP, and s/he will receive a formal performance appraisal for the rating period if the formal appraisal was previously postponed in favor of the PIP.
 - (b) Performance does not improve. A memorandum will be prepared to notify the employee that performance continues to be unacceptable. In addition, the employee will receive a formal performance appraisal for the rating period if the formal appraisal was previously postponed in favor of the PIP. Any resulting performance-based action will be taken in accordance with DOE O 331.1B, Change 1, EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM, dated March 14, 2001, and/or DOE 3750.1 Change 6, WORK FORCE DISCIPLINE, dated August 21, 1992.
- (6) Certifications. Required signatures and forms used for the PIP, progress review, and final rating during a PIP will follow the same requirements which apply during the regular performance appraisal cycle.

7. USE OF APPRAISALS AS BASIS FOR OTHER ACTIONS.

a. Reduction in Force (RIF).

- (1) Entitlement to additional service credit and assignment rights based on that service credit for RIF purposes will be determined in accordance with regulations and policies in effect at the time of the RIF.
- (2) If a RIF becomes necessary, scheduled ratings of record will be postponed if all of the following conditions are met:
 - (a) The Chief Human Capital Officer concurs in a statement by the responsible Manager that the RIF cannot be postponed for specific reasons;
 - (b) The scheduled rating date is within 90 calendar days of the effective date of the RIF and it would not be possible to process all ratings before the date-specific RIF notices are to be issued;
 - (c) There are persuasive reasons why ratings cannot be processed prior to the scheduled rating date in order for all ratings to be processed before the date-specific RIF notices are issued; and

- (d) Issuance of general notices, reducing the time required for specific notices, (and, therefore, extending the time available to process ratings) will not resolve the problem.

b. Within-Range Increases (WRI) (Formerly Within-Grade Increases (WIGI)).

- (1) Only the latest rating of record may be used as a basis for a WRI. In order to be eligible to receive a WRI, the employee's most recent rating of record must be at the "Meets Expectations."
- (2) Delay in determination.
 - (a) An acceptable level of competence determination must be delayed under the following circumstances:
 - 1 When the employee has not served in the current position under a performance appraisal plan for at least 90 calendar days and the employee has not been given a performance rating in any position within 90 calendar days prior to the end of the rating period; or
 - 2 When an employee is involuntarily reduced in grade because of unacceptable performance and is placed in a position in which s/he is eligible for a WRI or will become eligible within the next 90 calendar days.
 - (b) When an acceptable level of competence determination is delayed, the rating period must be extended until the employee has served in the current position under a performance appraisal plan for a minimum of 90 calendar days. At the end of the extended period, a rating of record will be completed which will form the basis for the acceptable level of competence determination.
 - (c) If, following the delay, the employee's performance is rated as "Meets Expectations," the WRI will be granted retroactively to the beginning of the pay period following completion of the required waiting period for advancement to the higher step.
- (3) Waiver of requirement for determination.
 - (a) An acceptable level of competence determination will be waived and the WRI granted when an employee has not served in any position for a minimum of 90 calendar days during the final 52 weeks of the waiting period for any of the following reasons:
 - 1 Due to absences which are considered to be creditable service in the computation of a waiting period;
 - 2 Due to paid leave;
 - 3 Due to service credit received under the back pay provisions of 5 Code of Federal Regulations (CFR) Part 550;

- b. Employees may grieve their performance rating using the administrative grievance procedure described in DOE O 342.1, GRIEVANCE POLICY AND PROCEDURES, dated February 2, 2006, and ORO O 340, Chapter II, Change 4, same title, dated September 28, 2006, and any subsequent revisions. Subsequent actions based on poor performance may be grieved or appealed in accordance with the provisions of this Chapter and DOE O 331.1B, Change 1, and/or DOE 3750.1, Change 6, as applicable.
- c. Employees may also use the Federal Discrimination complaints process as described in DOE O 311.1B, EQUAL EMPLOYMENT OPPORTUNITY AND DIVERSITY PROGRAM, dated February 12, 2003.
- d. Grievances regarding the performance rating will be directed to the employee's Rating Official.

U.S. Department of Energy
Managerial/Supervisory Performance Appraisal Form

U.S. Department of Energy

Managerial/Supervisory Performance Appraisal Form

Name:		Title:	
Organization:		Duty Station	
Performance Rating Period:		From:	To:

Performance Agreement Certification: This confirms that we have met and discussed expectations for the established performance appraisal period.

Rating Official's Name (Typed or Printed) _____ Rating Official's Signature _____ DATE _____

Reviewing Official's Name (Typed or Printed) _____ Reviewing Official's Signature _____ DATE _____

Employee's Name (Typed or Printed) _____ Employee's Signature _____ DATE _____

Privacy Act Statement

This form is subject to the provisions of the Privacy Act. Copies will be retained and provided for review and retention as required to appropriate management officials having a need to know. This gathers and records information on how Departmental employees are performing their duties and responsibilities. The information will be used to determine eligibility entitlement to awards, and compensation benefits. The authority to collect this information is contained in Title IV of the Civil Service Reform Act of 1978. The information will not be disclosed outside the Department without prior consent except as required or permitted by law.

U.S. Department of Energy
Managerial/Supervisory Performance Appraisal Form

Critical Element I • Program Accomplishments

<p>Instructions: Sub-elements, which must be linked to organizational goals and plans, may be expressed as one clause or sentence, but must be sufficiently descriptive to allow them to be distinguished from one another. Performance/organizational goals must be achievable and include information on measurable outcomes such as program improvements, cost reductions, improved timeliness, and improved customer/advisory services. Each sub-element under the Program Accomplishments critical element is of equal importance and accordingly will be weighted equally in the overall assessment of this critical element.</p>	<p style="text-align: center;">“Meets Expectations” Performance Standard Level</p>
1.	
2.	
3.	
4.	
5.	

Critical Element II • Managerial/Supervisory Attributes

Instructions: Each of the sub-elements that follows describes an attribute required of all effective managers. At the beginning of the performance appraisal period, Employees and Rating Officials should review and discuss each sub-element attribute to assure a mutual understanding of the generic performance standards provided for each. Also during these discussions, the need for additional standards should be determined and documented as amendments to the appropriate attributes' performance standards. Each sub-element under the Management critical element is of equal importance, and accordingly, will be weighted equally in the overall assessment of this critical element.

Cluster 1 – Subject Matter Expertise

Meets Expectations Standards:

Demonstrates Functional Competence

Demonstrates expertise in his/her functional area, leveraging unique core of knowledge and skills to achieve results.
Keeps up-to-date in areas of expertise.
Seeks input from manager, peers, and others regarding new developments, techniques, technologies and similar advancements in area of expertise.
Responds to requests for assistance in area of expertise in a timely manner by administering and actively passing on expertise to others.
Seeks assignments that make good use of expertise, engaging in an appropriate mix of challenging and comfortable assignments providing any assistance to clients/customers.

Exhibits Analytical Ability and Solves Problems

Gathers and effectively analyzes multiple data sources to determine root cause of problems.
Communicates and shares effective problem-solving processes. Generates alternative solutions and seeks input from others.
Typically anticipates the consequences or impact of a suggested course of action.
Collaborates with peers and others in problem-solving efforts and supports positions/recommendations that result
Consistently shares thoughts and supports recommendations with sound rationale.
Makes sound decisions in the face of ambiguity and uncertainty.
Appropriately escalates problems or resource issues for resolution.

Innovates

Consistently generates creative ideas for systems, services, or work processes.
Explores and supports new ideas and initiatives. Identifies areas for improvement within own area of expertise/job function.
Looks outside area of expertise to identify new ideas and initiatives.
Creates an open environment for people to voice new ideas.
Takes prudent risks to create new value for customers.

Critical Element II • Managerial/Supervisory Attributes cont.

Cluster 2 – Customer Service and Communication

Meets Expectations Standards:

Serves Customers and Builds Partnerships

Secures commitments that are realistic and attainable, and keeps them, delivering on time with quality.
Responds quickly to customer/partner concerns and requests, reacting constructively to changes in needs and priorities.
Consistently helps customers and partners overcome problems or difficulties.
Keeps customers and partners up to date on progress.
Provides respect to customers and partners, maintaining composure and objectivity in challenging situations.
Solicits feedback on the quality of service provided and takes corrective action, seeking help if needed.

Communicates Effectively

Presents his/her positions in a concise and convincing manner, orally and in writing.
Generates written materials that only occasionally require limited revision.
Uses professional wording and tone.
Listens to others' viewpoints and seeks to clarify for understanding.
Is able to successfully support own positions in a non-confrontational manner.
Uses communication methods (e.g., e-mail, voice mail, meetings) appropriate to the situation.

Critical Element II • Managerial/Supervisory Attributes cont.

Cluster 3 – Resources Management Skills

Meets Expectations Standards:

Demonstrates Personal Leadership

Serves as an example for others in demonstrating high levels of productivity and quality.
Demonstrates accountability and integrity through consistency between words and actions.
Creates opportunities to apply skills without having to wait for direction.
Demonstrates flexibility and resilience in response to constraints and adversity.
Conveys a clear sense of organizational goals, values, and interests.

Creates Effective Operating Plans

Develops operating plans that optimize time and resources.
Demonstrates understanding of the roles of different organizational units in fulfilling the operating plan.
Involves the right people in the appropriate stages of the business planning process.
Anticipates and addresses issues that may cause disruptions to the operating plan.
Remains flexible and integrates changing priorities into existing plans.
Establishes challenging goals and adopts meaningful metrics for evaluating results.

Critical Element II • Managerial/Supervisory Attributes cont.

Cluster 4 – Team Building

Meets Expectations Standards:

Builds Capability

Obtains and uses resources to achieve results.
Benchmarks, sets standards, and develops measurements for productivity, quality, timeliness.
Identifies present and future competencies needed in the workforce.
Exposes team to best practices among other groups.
Strives to identify and select the very best talent to meet organizational needs.

Coaches, Motivates, and Develops

Provides timely and constructive performance feedback on a regular basis, accurately appraising the strengths and weaknesses of direct reports.
Holds individuals responsible for their actions in a manner that is fair and objective.
Offers coaching suggestions on a regular basis to help team members improve, providing encouragement and support.
Remains calm and encourages discussion and full exploration of problems.
Collaborates with team members to further their career goals and interests.
Fosters an environment of continuous learning and development.

Critical Element II • Managerial/Supervisory Attributes cont.

Cluster 5 – Diversity

Meets Expectations Standards:

Builds Diversity

Fosters an environment where people can work together cooperatively and effectively to achieve organizational goals; openly addresses conflict, disagreements, and differences in perspective, and achieve productive resolutions.

Treats employees fairly and honestly when dealing with disagreements and workforce disputes using alternative dispute resolution techniques and other means to resolve disputes.

Demonstrates genuine concern and respect for direct reports and co-workers, conveys confidence in others' ability and desire to do their best, considers and responds to the needs, feelings, and capabilities of others; works constructively with others regardless of differences in style or interests, and is respectful and supportive of others' ideas and concerns.

U.S. Department of Energy
Managerial/Supervisory Performance Appraisal Form

Progress Review **Name:** **Rating Period:**

Instructions: Discuss and document progress achieved to-date by the employee in terms of the expected outcomes specified under the performance standards for each sub-element. Documentation and discussion should also address the need for any performance improvements specified below. Changes in priorities or workload, the availability of resources and other factors affecting the employee's ability to meet performance expectations should be considered and appropriate adjustments to the employee's performance plan should be made. (Additional comments may be placed on a separate page.)

<u>Critical Element I – Program Accomplishment Sub-Elements</u>	Comments/Progress
1.	
2.	
3.	
4.	
5.	

<u>Critical Element II – Managerial Attributes</u>	Comments/Progress
1. Subject Matter Expertise	
2. Customer Service and Communications	
3. Resources Management Skills	
4. Team Building	
5. Diversity	

Rating Official _____ **Date** _____ **Employee** _____ **Date** _____

Deriving Performance Ratings for Each Critical Element

Program Accomplishments with 2 or 3 Sub-Elements

- Significantly Exceeds (SE) – At least two sub-elements must be rated SE with no sub-elements rated below ME
- Meets Expectations (ME) – Less than two sub-elements are rated SE, but no sub-element is rated below ME
- Needs Improvement (NI) – One or more sub-elements rated NI with the others rated the same or higher
- Fails to Meet Expectations (FME) – At least one sub-element rated FME

Program Accomplishments with 4 or 5 Sub-Elements

- Significantly Exceeds (SE) – At least three sub-elements must be rated SE with none rated below ME
- Meets Expectations (ME) – Less than three sub-elements are rated SE, with no more than one of the remaining sub-elements rated as low as Need Improvement
- Needs Improvement (NI) – Two or more sub- elements rated NI with the others rated the same or higher
- Fails to Meet Expectations (FME) – At least one sub-element rated FME

Managerial/Supervisory Attributes

- Significantly Exceeds (SE) – At least three attribute clusters must be rated SE with none rated below ME
- Meets Expectations (ME) – Less than three attribute clusters are rated SE, with no more than one of the remaining clusters rated as low as Needs Improvement
- Needs Improvement (NI) – Two or more attribute clusters rated NI with the others rated the same or higher
- Fails to Meet Expectations (FME) – At least one attribute cluster rated FME

U.S. Department of Energy
Managerial/Supervisory Performance Appraisal Form

Annual Summary Rating Name: Rating Period:

<u>Critical Element I</u> – Program Accomplishments Sub-Elements	Ratings	Comments
1.		
2.		
3.		
4.		
5.		

<u>Critical Element II</u> – Managerial/Supervisory Attributes	Ratings	Comments
1. Subject Matters Expertise		
2. Customer Service & Communication		
3. Resource Management Skills		
4. Team Building		
5. Diversity		

Deriving Overall Summary Performance Ratings

- Significantly Exceeds Expectations (SE) – Both critical elements must be rated SE
- Meets Expectations (ME) – At least one critical element rated ME with the other rated the same or higher
- Needs Improvement (NI) – At least one critical element rated NI with the other rated the same or higher
- Fails to Meet Expectations (FME) – At least one critical element rated FME

U.S. Department of Energy
Managerial/Supervisory Performance Appraisal Form

Critical Element I – Details and Temporary Promotions Sub-element

Instructions: An employee detailed or temporarily promoted to another position for 90 calendar days or longer is to have the following sub-element added to his/her current performance appraisal plan. Both the employee and the Rating Official for the gaining organization will sign this supplemental sub-element. The Rating Official of the gaining organization will serve as the Rating Official for this supplemental sub-element supporting the detail or temporary promotion. The employee's Rating Official of record will still serve as the employee's Rating Official and will incorporate the supplemental sub-element into the employee's summary rating of record.

Sub-Element	"Meets Expectations" Performance Standard Level
Details and Temporary Promotions	Work reflects a thorough technical knowledge and analysis of the assignment. Goals and objectives are consistently met and work reflects a sound understanding of the relationship of the assignment to the goals and objectives. Advice and recommendations to operating officials/customers/employees are sound, responsive to the issues, and constructive. The employee has a solid knowledge and understanding of the regulations and policies related to the assignment and work is completed with little or no assistance from the supervisor.

This confirms that we have met and discussed expectations for this detail or temporary promotion for this performance appraisal period.

Detail or Temporary Promotion Period: From _____ To _____

Rating Official's Name and Signature Date
(Insert title of gaining organization)

Reviewing Official's Name and Signature Date
(Insert title of gaining organization)

Employee Name and Signature Date