

# U.S. Department of Energy

## ORDER

OAK RIDGE OPERATIONS OFFICE

OR 3430.3A

9-12-86

SUBJECT: PERFORMANCE APPRAISAL

1. PURPOSE. This Order specifies policies, responsibilities, and procedures for administration of the Departmental Appraisal System within Oak Ridge Operations (ORO) and the Office of Scientific and Technical Information (OSTI).
2. CANCELLATION. OR 3430.1, PERFORMANCE APPRAISAL, of 6-30-81, and Change 2 of 3-12-82.
3. SCOPE. This Order applies to all ORO and OSTI employees except:
  - a. Members of the Senior Executive Service.
  - b. Experts and consultants.
  - c. Employees who receive no compensation.
  - d. Employees who are not expected to work more than 120 consecutive days in a 12-month period.
  - e. Employees serving in Federal Junior Fellowship and Cooperative Education positions.
4. POLICY.
  - a. DOE is required by law to implement a performance appraisal system for employees. This system includes the planning and development of performance appraisal plans, ongoing discussions with employees about their performance throughout the year, and formal ratings of demonstrated performance. The purpose of the system as a whole is stated in the policy statement of DOE Order 3430.3A.
  - b. In ORO and OSTI, the planning and performance discussion processes are tools to communicate organizational goals and objectives, identify accountability, improve performance, develop employee skills, etc. The rating process, on the other hand, has as its sole purpose the measurement of employee performance over the rating period. The documentation (i.e.,

the rating) is used for determining eligibility for various personnel actions, such as awards, promotions, removals, RIF's, etc.

#### 5. REFERENCES.

- a. DOE 3430.3A, DEPARTMENTAL PERFORMANCE APPRAISAL SYSTEM, which establishes the basic framework for the performance appraisal system to be used in DOE.
- b. OR 3315.1, PROBATIONARY PERIOD FOR MANAGERS AND SUPERVISORS (to be issued). This Order will establish the relationship between employee performance appraisals and retention in supervisory and managerial positions during the probationary period.
- c. OR 3330.1, REPROMOTION CONSIDERATION FOR EMPLOYEES ENTITLED TO GRADE OR PAY RETENTION, of 11-13-81, which establishes procedures for implementing the Priority Placement Program for repromotion consideration of certain employees.
- d. OR 3335.1, MERIT PROMOTION PROGRAM - COMPETITIVE SERVICE, of 8-17-82, which establishes procedures for rating and ranking candidates for promotion and placement.
- e. OR 3351.1, REDUCTION IN FORCE, of 2-25-81, which implements Departmental procedures for using performance ratings to grant service credit during reductions in force.
- f. OR 3450.1, INCENTIVE AWARDS, of 7-6-84, which contains local procedures for the awards program.
- g. OR 3540.1A, PERFORMANCE MANAGEMENT AND RECOGNITION SYSTEM (to be issued), which implements the Departmental system for making performance-based pay determinations for Performance Management and Recognition System employees.
- h. OR 3750.1, WORK FORCE DISCIPLINE, of 5-13-83, which implements Departmental policies and procedures for actions involving reductions in grade and removals based on unacceptable performance.
- i. OR 3771.1, GRIEVANCE POLICY AND PROCEDURES, of 10-20-81, which contains information on Departmental grievance procedures for employees outside of exclusively represented bargaining units.

6. DEFINITIONS.

- a. Standardized Positions. Positions which are so similar in their major duties, responsibilities, and supervision received that they have identical position descriptions.
- b. Identical-Additional Positions (DOE Order 3511.1). Standardized positions which report to the same supervisor.
- c. Generic Standard. This refers only to the generic outstanding standard contained in the DOE Order 3430.3A.
- d. Handbook Standard. One of the standards, usable for many positions, contained in Appendices 1 and 2 of this OR Order.

7. RESPONSIBILITIES AND AUTHORITIES.

- a. The Managers of ORO and OSTI serve as Reviewing Officials for employees within their respective organizations who are appraised by the Deputy Manager.
- b. The Deputy Managers, ORO and OSTI, for their respective organizations:
  - (1) Serve as Rating Officials for all employees reporting directly to the Manager.
  - (2) Serve as Reviewing Officials for all employees appraised by the members of the Principal Staff who report directly to the Manager.
  - (3) As part of the responsibility for managing the performance awards budget, review performance appraisal statistics covering the assignment of ratings of record for all employees.
- c. Assistant Managers, ORO:
  - (1) Review performance appraisal statistics for employees in their organizations and forward such statistics to the Deputy Manager for his review for awards purposes.
  - (2) Serve on a committee to review all proposed ratings for Performance Management and Recognition System (PMRS) employees on an individual basis for concurrence or nonconcurrence.

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- d. Assistant Managers, OSTI, review performance appraisal statistics for employees in their organizations and forward such statistics to the Deputy Manager for review for awards purposes.
- e. Chief Counsel, ORO:
  - (1) Serves as Reviewing Official for all employees in his organization, who are rated by the Deputy Chief Counsel.
  - (2) Serves on a committee to review all proposed ratings for ORO PMRS employees on an individual basis for concurrence or nonconcurrence.
- f. Supervisors, ORO and OSTI:
  - (1) Serve as Rating Officials for all employees reporting directly to them, and for employees reporting to subordinate supervisors when an immediate appraisal is necessary and the supervisor is either unavailable or disqualified from conducting the appraisal.
  - (2) Serve as Reviewing Officials for all employees reporting to a supervisor one level below them.
- g. Rating Officials:
  - (1) Communicate the objectives and provisions of the performance appraisal system to employees and solicit employee participation in the development of performance plans (DOE F 3430.7A).
  - (2) Identify performance elements and critical elements, establish performance standards, and communicate performance plans to employees under their immediate supervision in a timely manner.
  - (3) Give guidance and assistance to employees, helping promising workers to progress according to ability, and assisting employees whose work is unsatisfactory in improving their performance.
  - (4) Discuss performance with employees as often as necessary during the rating period and whenever requested; complete official performance ratings (DOE F 3430.7F) and required mid-year reviews on subordinate employees in a timely manner.

h. Reviewing Officials:

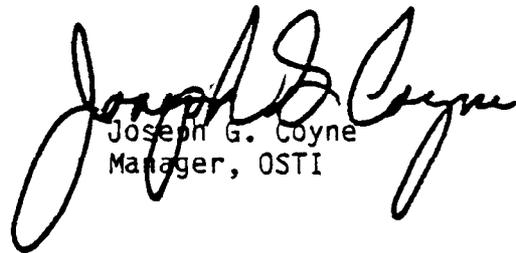
- (1) Review performance plans prepared by Rating Officials in their organizations, and approve final plans, assuring that:
  - (a) Performance elements and standards for positions under their jurisdiction with the same title, grade, and series are as consistent as possible.
  - (b) Performance standards at the Marginal, Fully Successful, and Outstanding levels are consistent with the performance level criteria contained in Chapter I, paragraph 2.
- (2) Approve ratings for individual employees in their organizations, after making any necessary changes in elements and summary ratings.

i. The Director, Organization and Personnel Division:

- (1) Provides advice and assistance to managers, supervisors, and other employees regarding the DOE Performance Appraisal System, and provides training and orientation on the mechanics of the system.
- (2) Serves as Chairperson of the ORO Performance Standards Review Board established to conduct periodic reviews of appraisal plans and elements.
- (3) Assures that appropriate contacts are maintained with exclusively recognized labor organizations.
- (4) Establishes and maintains the official filing system for performance appraisal documents.
- (5) Conducts periodic evaluations of activities associated with the performance appraisal system and initiates revisions as required.

- (6) Develops handbook elements and standards for duties common to many positions and occupations (see Appendices 1 and 2), for review by the Performance Standards Review Board.
- (7) Reviews appraisal plans and ratings for all positions for compliance with established procedures, and suggests revisions of elements and standards as appropriate for improvement and consistency with performance level criteria.

  
Joe La Grone  
Manager, ORO

  
Joseph G. Coyne  
Manager, OSTI

CHAPTER I - THE PERFORMANCE APPRAISAL SYSTEM

1. IDENTIFICATION OF CRITICAL AND NONCRITICAL PERFORMANCE ELEMENTS.

- a. The performance plan for each position must contain at least three, but not more than eight elements. At least one of these elements must be critical.
- b. Certain elements and standards have been mandated for use in ORO for some positions. These elements and standards, and instructions for their use, are contained in Appendix 1 to this Order.
- c. Certain types of work are common to many positions in ORO and OSTI. Suggested elements and standards for some of these duties are contained in Appendix 2 to this Order. These may be used as is or modified to more closely match the duties of a particular position.

2. CRITERIA FOR PERFORMANCE STANDARDS.

- a. Performance elements and standards must be described at three levels: Marginal, Fully Successful, and Outstanding. Standards at each level must be consistent with the criteria for that level described below. Although standards do not have to be defined for Highly Successful, criteria for this level are also given to assist supervisors in structuring sound appraisal plans.

- (1) Marginal. The standard for this level should provide that the employee produces work in a generally timely manner and meets critical deadlines. The work performed generally meets the major requirements of the assignment; i.e., is in conformance with regulations, shows a basic understanding of the problem to be addressed, etc. Supervisory assistance is greater than normally required for the grade level; the supervisor must frequently provide extra assistance and instructions on assignments to obtain a usable product, and must give closer review to work products.

This level represents performance which needs improvement. In determining the rating for a particular element, an assignment of "marginal" might be appropriate for an employee who takes longer than expected with most assignments or who produces a normal quantity of work, but the work frequently has to be modified or changed because the employee has not been sufficiently thorough, has not

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considered all the key factors that need to be addressed, has not fully followed instructions, etc.

- (2) Fully Successful. The standard for this level should provide that the employee is doing everything expected of a person at that grade level. Work is completed in a timely fashion commensurate with priorities, and the employee produces a normal quantity of work in the expected period of time. Work products are complete and thorough, consider all appropriate aspects of the assignment, are in accordance with established policies and procedures, are coordinated with all appropriate people, and reflect good knowledge of the subject matter field pertinent to the position. Where the position involves providing advice or information, the advice or information is accurate, sound, constructive, and responsive to the situation or request. The employee performs work of this quality under the normal supervision expected of the grade level; at the higher grades, this means little technical review but may include review for such factors as policy, cost, or compatibility with other work in the organization.

This level represents performance expected of fully qualified, competent employees at the particular grade level; it is performance typical of a good employee.

- (3) Highly Successful. There is no requirement to define written standards at this level, which covers performance consistently above and beyond the ordinary. A rating at this level may be appropriate where an employee performs some, but not all aspects of a particular element at the level described as Outstanding. For example, a highly successful rating could be assigned to an employee who produced an extremely high volume of work of good (but not exceptional) quality, or conversely for an employee whose work quantity is normal, but the work produced is always exceptional in quality. This level would also be appropriate for an employee whose quantity, quality, and timeliness all exceed the norm, but do not rise to the outstanding level.
- (4) Outstanding. Standards for this level must be consistent with the criteria contained in the Generic Outstanding standards which are included in Appendix I to DOE Order 3430.3A. If desired, the rater may choose to use the Generic Outstanding standard verbatim for one or more elements in the appraisal plan.

This level represents an unusually high quality of performance that is typical of only exceptional employees; this quality of performance must be consistently demonstrated throughout the rating period before assignment of this level is appropriate.

- b. Absolute (pass-fail) standards should not be used in ORO or OSTI.

3. COMMUNICATION OF PERFORMANCE ELEMENTS AND STANDARDS.

- a. To facilitate employee participation in the development of performance elements and standards, copies of this Order and of DOE Order 3430.3A will be distributed to all employees.
- b. Before finalized standards are officially given to the employee, they must have been reviewed and agreed to by the Reviewing Official. The rater and reviewer should not formally sign the performance plan for bargaining unit employees, however, until the employee has had five work days to review the finalized plan.
- c. Within 30 days from the end of the appraisal period, new performance plans or recertifications of the old plan must be submitted for each employee. If there are no changes to the plan, it may be recertified by using DOE F 3430.7A, "Certifications", rather than retyping the entire plan.

4. PROGRESS REVIEWS.

- a. Formal progress reviews for Performance Management and Recognition System (PMRS) employees will take place during the months of December and January.
- b. Formal progress reviews for Performance Management System (PMS) employees will take place during October and November.
- c. Rating Officials should document that the formal progress reviews were conducted by completing the appropriate portion of DOE F 3430.7A, "Certifications", for each employee.

5. SCHEDULE FOR APPRAISING PERFORMANCE.

- a. The appraisal period for PMS (GS & WG employees) is May 1 of each year to April 30 of the following year, unless the Manager of ORO or OSTI has approved an appraisal cycle ending later than April 30 for a particular year. When a rating of record cannot be prepared at the time specified because the employee has not

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been under an appraisal plan for 90 calendar days or because there is no person within the employee's supervisory chain of command who can serve as the Rating Official, the appraisal period shall be extended for the amount of time necessary to meet the minimum 90 calendar day period required for a performance evaluation, and the rating of record shall be prepared at that time.

- b. The appraisal period for PMRS (GM) employees is July 1 of one year to June 30 of the following year, unless the Director of Personnel, Headquarters, has approved an appraisal cycle ending later than June 30 for a particular year. When a rating of record cannot be prepared at the time specified because the employee has not been under an appraisal plan for 90 calendar days or because there is no person within the employee's supervisory chain of command who can serve as the Rating Official, the appraisal period shall be extended for the amount of time necessary to meet the minimum 90 calendar day period and the rating of record shall be prepared at that time.

#### 6. INFORMAL PERFORMANCE DISCUSSIONS.

The process of appraising performance is an ongoing one, involving discussions and comments on particular work assignments and products as well as the more formal progress review and formal ratings. Supervisors and employees have a joint responsibility to discuss an employee's performance as often as either party feels such a discussion to be necessary.

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CHAPTER II - THE FORMAL APPRAISAL PROCESS1. CONDUCT AND REVIEW OF RATINGS.

- a. At least one month prior to the end of the standard rating period, employees will be invited to discuss their performance with their supervisors before the start of the actual rating process. During this meeting, employees will be encouraged to provide information on their performance during the rating period, including identification of specific assignments, achievements, career interests, desired training opportunities, recommendations for improvements in appraisal plans, etc. Employees who are being rated at times other than the standard rating period should also be given an opportunity to discuss their performance with the supervisor.
- b. Rating and Reviewing Officials should reach an agreement on the appropriate element and summary ratings for each employee and prepare DOE F 3430.7C, "PMRS/PMS Performance Rating."
- c. The Assistant Managers are responsible for preparing statistical information on the ratings for all PMS employees in their organizations for review and concurrence by the Senior Management Board (for ORO) or the Executive Committee and the Manager (for OSTI) at the end of the annual rating cycle. For PMRS employees at ORO, ratings for each individual will be reviewed and concurred in by the Assistant Managers and the Chief Counsel. For PMRS employees at OSTI, ratings for each individual will be reviewed and concurred in by the Manager of OSTI.
- d. For employees being rated at the conclusion of the standard rating period, the Rater must provide the rating to the employee and provide the opportunity for a full discussion of the rating after the review and concurrence process described in paragraph 1c above. For employees being rated at other times, advance concurrence and review by upper management is not required. In the case of bargaining unit employees, the rating must be given to the employee without signatures; under the negotiated agreement, the employee has five workdays to review the rating before it is signed by the Rating and Reviewing Officials. Any changes which the Rater and Reviewer wish to make in the rating as a result of performance discussions with employees which would result in making the employee eligible for an automatic performance award (i.e., raising the summary rating to Outstanding) must be reviewed and concurred in as in paragraph 1c above.

- e. There will be no predetermined spread of ratings within ORO and OSTI. Employee plans are to be established in accordance with the standards contained in Chapter I, paragraph 2, and the performance of individual employees is to be rated realistically against these standards.

## 2. DOCUMENTATION OF RATINGS.

- a. Documentation, including specific examples of performance, must be provided for each element rating above or below "Fully Successful" on or attached to the DOE F 3430.7C.
- b. The employee may file written comments on the performance rating. If the employee elects to exercise this option, the Rating and Reviewing Officials are required to initial the comments to document that they have read them.

## 3. RATING AND REVIEWING OFFICIALS.

- a. An employee serving in an "acting" capacity as either a full deputy (as determined by the position's official classification title or organizational title) or as a result of a formal detail or temporary promotion to a supervisory position (as documented by an official personnel action, SF-50) may serve as a Rating or Reviewing Official.
- b. An acting supervisor may establish performance plans for employees in the group and may sign such plans as the Rating or Reviewing Official, without regard to the length of time he or she has served in the acting capacity.
- c. An acting supervisor may appraise performance and sign as the Rating Official if he or she has supervised the employee for a minimum of 90 days at the time the rating is done. An acting supervisor may serve as a Reviewing Official without regard to the length of time served in the acting capacity.

CHAPTER III - EMPLOYEE PERFORMANCE RECORD SYSTEM

1. OFFICIAL EMPLOYEE PERFORMANCE FILE.

- a. The official performance-related forms and documents which must be maintained in the employee's performance record system consist of the following:
  - (1) DOE F 3430.7, "Performance Record."
  - (2) DOE F 3430.7A, "Certifications."
  - (3) DOE F 3430.7B, "Performance Appraisal Plan Continuation Sheet."
  - (4) DOE F 3430.7C, "PMRS/PMS Performance Rating."
  - (5) Employee comments, if provided, on either the plan or rating.
  - (6) Documentation of the basis for numerical standards, if any.
  - (7) Formal Performance Improvement Plans prepared in accordance with Chapter V of this Order.
- b. The Organization and Personnel Division shall establish and maintain the official employee performance files, which shall be separate from the Official Personnel Folders.
- c. Rating Officials are responsible for providing the signed originals of all appraisal plans and ratings to the Organization and Personnel Division for inclusion in the official employee performance files.

2. SECONDARY EMPLOYEE PERFORMANCE FILES.

Rating and Reviewing Officials must retain performance standards and any supporting job analysis data as long as the standards are in effect. In addition, they may retain copies of notes of performance discussions, completed appraisals, and related documentation as a basis for developing future appraisal plans and ratings, guiding an employee's development, etc. However, they must assure compliance with all restrictions on the use of appraisals as a basis for other personnel actions and must assure that Privacy Act restrictions on disclosure of any personal employee record are followed.

### 3. EMPLOYEE ACCESS TO FILES.

Employees are entitled to see the contents of their official performance file at any time. If the Rating or Reviewing Officials maintain separate employee performance files in accordance with paragraph 2 above, employees have the right to review those files as well.

CHAPTER IV - GRIEVANCES AND APPEALS

1. RIGHT TO DISAGREE.

Employees have the right to question or comment on plans and ratings, discuss issues with the rater and reviewer, and pursue grievance procedures without fear of reprisal.

2. NON-BARGAINING UNIT EMPLOYEES.

Employees who are not in a bargaining unit represented by an exclusive representative may grieve their performance rating using the administrative grievance procedure described in DOE and OR Orders 3771.1. Actions based on poor performance may be grieved or appealed in accordance with the provisions of this Order and DOE Order 3750.1, as applicable.

3. BARGAINING UNIT EMPLOYEES.

Employees who are in a bargaining unit represented by an exclusive representative may grieve or appeal in accordance with the provisions contained in the applicable labor agreement.

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CHAPTER V - PERFORMANCE IMPROVEMENT PLANS

In addition to the requirements contained in Chapter V of DOE Order 3430.3A, there are additional requirements for bargaining unit employees in the unit represented by the Office and Professional Employees International Union. Refer to the negotiated agreement for details.

CHAPTER VI - PERFORMANCE STANDARDS REVIEW BOARD

1. OSTI Performance Standards Review Boards. OSTI is a member of the Headquarters Management and Administration PMRS Standards Review Board and will work directly with Headquarters in the establishment of a PMS Review Board if one is to be established.
2. Membership. The ORO Performance Standards Review Board shall consist of six members, as follows:
  - a. Chairman: the Director, Organization and Personnel Division.
  - b. Two PMRS representatives.
  - c. Two PMS representatives.
  - d. OPEIU representative from ORO.
3. Functions. In addition to those functions listed in DOE Order 3430.3A, the ORO Board shall also consider changes, additions to, and deletions from the handbook standards contained in Appendices 1 and 2 of this Order.
3. Reports. The Organization and Personnel Division will provide staff support for the writing and preparation of the ORO Board's annual report.

CHAPTER VII - USE OF APPRAISALS AS A BASIS  
FOR OTHER PERSONNEL ACTIONS

1. Within-Grade Increases for General Schedule Employees.
  - a. Acceptable level of competence determination.
    - (1) In order to be eligible to receive a within-grade increase, the employee's most recent rating of record must have been at least Fully Successful. When a within-grade increase decision is not consistent with the employee's most recent rating of record, a more current rating of record must be prepared.
    - (2) The rating of record used as the basis for an acceptable level of competence determination for a within-grade increase must have been assigned no earlier than the most recently completed appraisal period.
  - b. Delay in determination.
    - (1) An acceptable level of competence determination must be delayed in the following circumstances:
      - (a) When the employee has not served in the current position under a performance appraisal plan for at least 90 days, and the employee has not been given a performance rating in any position within 90 days before the end of the rating period;
      - (b) When an employee is reduced in grade because of unacceptable performance to a position in which he or she is eligible for a within-grade increase or will become eligible within the next 90 days.
    - (2) When an acceptable level of competence determination is delayed, the rating period must be extended until the employee has had an opportunity to serve in the current position under a performance appraisal plan for 90 days. At the end of the extended period, a formal rating of record will be completed which will form the basis for the acceptable level of competence determination.
    - (3) If, following the delay, the employee's performance is at least at the Fully Successful level, the within-grade increase will be granted retroactively to the beginning of the pay period following completion of the required waiting period for advancement to the higher step.

c. Waiver of requirement for determination.

- (1) An acceptable level of competence determination shall be waived and the within-grade increase granted when an employee has not served in any position for a minimum of 90 days during the final 52 weeks of the waiting period for any one of the following reasons:
  - (a) Because of absences that are creditable service in the computation of a waiting period;
  - (b) Because of paid leave;
  - (c) Because the employee received service credit under the back pay provisions of 5 CFR Part 550;
  - (d) Because of details to another agency or employer for which no rating has been prepared; or
  - (e) Because of long-term training.
- (2) In such situations, it is assumed that the employee would have performed at the Fully Successful level or higher had the employee performed the duties of his or her position for at least 90 days.

2. Within-Grade Increases for Employees Under the Federal Wage System.

- a. An employee paid under a Federal Wage System schedule with an appraisal rating of Fully Successful or better is entitled to automatic advancement to the next higher step within the grade in accordance with 5 U.S.C. 5343(e)(2).
- b. Regulations governing the granting of within-grade increases to wage grade employees are contained in 5 CFR 532.417.

3. Quality Step Increases.

- a. A quality step increase may only be granted to an employee who receives a rating of record of Outstanding.
- b. The rating of record is an insufficient basis for a quality increase if it is more than 60 days old at the time.

the increase is approved, all nominations for quality increases must be accompanied either by a rating less than 60 days old or contain additional narrative justification to support the request for increase.

4. Performance Awards. Regulations governing the payment of these awards to both PMRS and PMS employees are contained in 5 CFR 430, subparts C and E.
  
5. Promotions.
  - a. When a career-ladder promotion is proposed, the signature of the appropriate member of the Principal Staff on the SF-52, "Request for Personnel Action," will constitute a certification that the employee is, or is capable of, performing at the next higher grade. In order to be eligible for promotion, the employee must have at least a Fully Successful on the most recent rating in the current position.
  
  - b. For competitive merit staffing actions, separate supervisory appraisals of performance on the ranking factors of the vacant position will be used rather than the applicants' ratings of record. In completing these ratings, supervisors must review the employees' most recent ratings of record and assure that the ranking factors on the Form OR-11, "Supervisory Appraisal of Demonstrated Performance," are rated consistently with the performance elements on the rating of record which address the same knowledges, skills, and abilities.

APPENDIX 1. HANDBOOK OF ORO MANDATORY ELEMENTS AND STANDARDS

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## APPENDIX 1. HANDBOOK OF ORO MANDATORY ELEMENTS AND STANDARDS

- A. Mandatory Elements for Full Supervisors. The appraisal plan for each full supervisor must include three critical elements related to supervision, EEO performance, and employee development. In recognition that different organizational levels have different responsibilities, two versions of each element are given below. These are to be used without modification.

### 1. Supervision Elements

#### a. SUPERVISION -- FIRST LEVEL (CRITICAL)

(This element should be used for all first-level full supervisors at any organizational level.)

##### Marginal

Develops work systems, objectives, priorities, and operating procedures which are generally sufficient to accomplish the work of the organization, including those related to internal controls to protect against fraud, waste, and abuse. Work products of the organization are generally timely, accurate, and responsive to needs.

##### Fully Successful

Expectations, objectives, and work systems are discussed and generally agreed upon by first-level supervisors and others as appropriate. Sets group priorities consistent with organizational commitments and sound supervisory practices. Assignments of work to individuals are logical and clear; positions within the group are accurately described, and all supervisory duties related to personnel systems are completed in a timely fashion. Advice and counsel on work and administrative matters is accurate, logical, and correct and reflects support for management goals and policies both within and outside the organization. Deals with disagreements, complaints, problems, and grievances within the group in a fair, impartial, and logical manner. Takes necessary corrective action to address internal control vulnerabilities promptly and positively.

##### Outstanding

The employee is a strong leader who works well with others and is particularly effective in handling difficult situations. The employee encourages independence and flexibility among

subordinates, yet takes responsibility for their actions. Open to the views of others, the employee promotes cooperation among peers and subordinates while guiding, motivating, and stimulating positive responses. Expectations, work systems, priorities, and objectives are continually reviewed with staff and others, as appropriate, to effect improvements in the organization's abilities to carry out its functions in an effective and timely fashion despite unusual circumstances.

b. SUPERVISION -- SECOND LEVEL (CRITICAL)

(This element should be used for all second-level and higher full supervisors at any organizational level.)

Marginal

Either directly or through subordinate supervisors, develops work systems, objectives, priorities, and operating procedures which are generally sufficient to accomplish the work of the organization, to coordinate work between subordinate groups as necessary, and to coordinate with other organizations as appropriate. Assures that internal controls at all levels within the organization are adequate to protect against fraud, waste, and abuse. Work products of the organization are generally timely, accurate, and responsive to needs.

Fully Successful

Expectations, objectives, and work systems are discussed and generally agreed upon by first-level supervisors and others as appropriate. Sets group priorities consistent with organizational commitments and sound supervisory practices. Assignments of work to subordinate organizational units are logical and clear; cross-cutting issues are resolved in a timely, positive manner. Positions reporting directly to the supervisor are accurately described and all first- and second-level supervisory duties related to personnel systems are completed in a timely fashion. Advice and counsel on work and administrative matters is accurate, logical, and correct and reflects support for management goals and policies both within and outside the organization. Disagreements, complaints, problems, and grievances arising to the second level are dealt with in a fair, impartial, and logical manner. Assures prompt completion of necessary corrective action to address internal control vulnerabilities.

Outstanding

The employee is a strong leader who works well with others and is particularly effective in handling difficult situations.

The employee encourages independence and flexibility among subordinates, yet takes responsibility for their actions. Open to the views of others, the employee promotes cooperation among peers and subordinates while guiding, motivating, and stimulating positive responses. Expectations, work systems, priorities, and objectives are continually reviewed with staff and others, as appropriate, to effect improvements in the organization's abilities to carry out its functions in an effective and timely fashion despite unusual circumstances.

## 2. EEO Performance Elements

NOTE: In rating EEO performance, care must be taken to differentiate between lack of opportunities and lack of commitment and initiative. Many positions will not have sufficient turnover during an appraisal period to evaluate performance solely on the basis of how positions were filled or how personnel actions were made. Some additional examples of how an individual could demonstrate strong personal commitment and support of EEO include:

- Taking a strong stand on EEO issues;
- Participating in community efforts to improve conditions for minorities and women which affect employability;
- Regularly encouraging subordinates to participate in EEO activities;
- Commending subordinates for efforts in EEO;
- Assigning minorities and women to leadership roles in office activities and projects;
- Participating in self-development activities which would enrich an employee's understanding of organizational behavior, group interactions, and cultural differences;
- Participating in sign language training to improve communications with deaf employees;
- Participating in officewide affirmative action recruiting efforts such as college interviews and the intern program.

Examples given here, as well as in the standards, must not be regarded as an all-inclusive list. In assigning ratings above Fully Successful, rating officials should document specifically those activities which are considered as meeting the requirement of the Outstanding standard for "otherwise demonstrating that EEO has been a viable program within the organization due to the supervisor's personal efforts."

### a. EEO PERFORMANCE - NONPRINCIPAL STAFF (CRITICAL)

(This is a mandatory element for all full supervisors who have not been designated as Principal Staff.)

Marginal

Is aware of and generally supports EEO plan provisions and the EEO program. Work assignments, training, performance appraisals, and recommendations for personnel actions are generally based on merit rather than personal favoritism or discrimination.

Fully Successful

Takes positive action to support affirmative action goals-- treats all employees fairly; counsels employees on conduct which is inappropriate; keeps subordinates informed of ORO EEO policies and guidelines and changes in EEO staff; adheres to and implements EEO requirements in a consistent manner; takes timely action to resolve informal EEO complaints within the scope of his/her responsibility; provides job-related training and development opportunities for minorities, women, and the handicapped; etc. In proposing personnel actions within the organization, including selections and promotions, reviews and makes recommendations on job structure, desired qualifications, and standards for promotion to assure that requirements which are established are job-related and do not pose unnecessary barriers to the employment and advancement of minorities, women, and handicapped individuals.

Outstanding

Demonstrates strong personal commitment to affirmative action and EEO principles, as evidenced by specific actions such as recommending that vacant positions within the organization be restructured as trainee or upward mobility positions; personally participating in EEO activities (advisory councils, FWP, HEP, etc.); restructuring jobs to accommodate handicapped workers or disabled veterans; developing a high level of staff morale through sensitive treatment and handling of a diverse staff; or otherwise demonstrating that EEO has been a viable program within the organization due to the supervisor's personal efforts.

b. EEO PERFORMANCE - PRINCIPAL STAFF (CRITICAL)

Marginal

Is aware of and generally supports EEO plan provisions and the EEO program and assures that subordinate supervisors have access to information on this program. Assures that work assignments, training, performance appraisals, and decisions on personnel actions are generally based on merit rather than personal favoritism or discrimination.

Fully Successful

Takes positive action to support affirmative action goals-- treats all employees fairly; counsels subordinate supervisors on conduct which is inappropriate; adheres to and assures implementation of EEO requirements in a consistent manner throughout the organization; takes timely action to resolve informal EEO complaints within the scope of his/her responsibility; assures that job-related training and development opportunities are provided for minorities, women, and the handicapped; etc. In making decisions on selections, promotion, and other personnel actions within the organization, reviews job structure, desired qualifications, and standards for promotion to assure that requirements which are established are job-related and do not pose unnecessary barriers to the employment and advancement of minorities, women, and handicapped individuals.

Outstanding

Demonstrates strong personal commitment to affirmative action and EEO principles, as evidenced by specific actions such as restructuring vacant positions within the organization as trainee or upward mobility positions; personally participating in EEO activities (advisory councils, FWP, HEP, etc.); restructuring jobs to accommodate handicapped workers or disabled veterans; developing a high level of staff morale through sensitive treatment and handling of a diverse staff; or otherwise demonstrating that EEO has been a viable program within the organization due to the supervisor's personal efforts.

3. Employee Development Elements

a. EMPLOYEE DEVELOPMENT -- FIRST LEVEL SUPERVISOR (CRITICAL)

(This is a mandatory element for all first-level full supervisors at any organizational level.)

Marginal

Provides adequate direction and training as necessary to ensure that employees generally have the opportunity to develop skills necessary to perform assigned work. Generally takes employees' personal goals and interests into consideration when making work assignments, in line with fiscal and time constraints and the accomplishment of program needs. Assesses performance of individuals against organizational objectives.

Fully Successful

Makes effective use of training resources to provide both individual development for staff and increased effectiveness for the organization. Periodically reviews development activities with individual employees to determine whether personal and organizational objectives are being attained within fiscal, time, and other constraints. Provides constructive feedback to employees on a timely and ongoing basis.

Outstanding

Is especially successful and innovative in arranging work activities to accomplish the work of the organization in a highly effective manner while still providing individual employees with meaningful, challenging work and the opportunity for personal growth. Makes special efforts to assist employees in improving their performance, determining their career goals, and identifying methods to reach these goals within time and fiscal constraints and organizational needs.

b. EMPLOYEE DEVELOPMENT -- SECOND LEVEL SUPERVISOR (CRITICAL)

Marginal

Either personally or through subordinate supervisors, assures that employees receive adequate direction and training to enable them to develop skills necessary to perform assigned work. Generally takes employees' personal goals and interests into consideration when making work assignments, in line with fiscal, staffing, and time constraints and the accomplishment of program needs. Assesses or reviews performance of individuals against organizational objectives.

Fully Successful

Makes effective use of training resources to provide both individual development for staff and increased effectiveness for the organization. Periodically reviews development activities with subordinate supervisors and others under his/her direct supervision to determine whether personal and organizational objectives of individual employees are being attained within fiscal, time, and other constraints. Assures that constructive feedback is provided to employees on a timely and ongoing basis.

Outstanding

Is especially successful and innovative in arranging work activities to accomplish the work of the organization in a highly effective manner while still providing individual employees with meaningful, challenging work and the opportunity for personal growth. Makes special efforts to assist employees in improving their performance, determining their career goals, and identifying methods to reach these goals within time and fiscal constraints and organizational needs.

B. Mandatory Element for Limited Supervisory and Work Leader Positions.

The following element is to be used for all people who are formally designated as work leaders or who serve as a full supervisor for only one or two employees. In most cases, it should be considered as Critical.

1. LIMITED SUPERVISION

Marginal

Assigns work to subordinates in a generally timely manner and assures that completed work products generally meet applicable quality standards and deadlines. Provides adequate instructions to employees on how to successfully complete assignments. Treatment of subordinates shows no evidence of personal favoritism or illegal discrimination.

Fully Successful

Assignments of work are logical and clear and take into account the subordinate's strengths and interests. Balances workload to assure that all subordinates have an appropriate amount and type of work and that priority work receives appropriate handling. Provides timely and constructive feedback to subordinates concerning work products, and tracks work progress to assure that quality and quantity are commensurate with workload considerations, time constraints, and the difficulty of the assignment. Treats employees fairly and takes timely action to resolve problems within the scope of his/her responsibility.

Outstanding

Supervisory activities show evidence of a high level of knowledge and judgment, such as recommending improved work methods and systems; identifying training needs, recommending and implementing methods for meeting these needs which are particularly cost-effective; resolving particularly difficult employee relations problems with finesse and tact, etc. The employee is open to the views of others and promotes cooperation among peers and

subordinates while guiding, motivating, and stimulating positive responses. The employee is directly responsible for improvements in the organization's ability to carry out its functions in an effective and timely fashion despite unusual circumstances.

- C. Mandatory Elements for Professional Positions. The following two elements are to be used for supervisory and nonsupervisory ORO positions in professional, administrative, and technical positions in two-grade interval series at or above GS-5. The standards may be modified slightly, if necessary, to match job duties more closely. Also, it is recognized that in some rare cases a particular position may involve little or no interaction within or outside the organization. In these cases, the supervisor may omit the element on Working Relationships from the appraisal plan and document the reasons therefore on the DOE F 3430.7.

#### 1. SPECIAL ASSIGNMENTS

This element should be noncritical and would cover any assignments which are not covered under other elements and standards of the appraisal plan. Work of this sort may occur with some task force assignments, with miscellaneous or new work, certain developmental assignments, or details to work outside the employee's normal position. This element should only be rated if: (1) the work under consideration is not of the same type, character, or nature as the employee's usual assignments to the extent that it cannot be adequately addressed under another performance element or elements; and (2) the amount of work of this nature occupied a substantial amount of time (approximately 10 percent or more) during the rating period either in a single assignment or in a combination of assignments.

(If this element is not rated, it will have no effect on the overall rating.)

##### Marginal

Work generally meets established objectives and time constraints where imposed. Reports, where required, are factual, timely, and well-prepared, with few major revisions or changes required.

##### Fully Successful

Work is of good quality, thorough, and complete; shows good use of investigative, fact-gathering, and analytical techniques as appropriate. Conclusions and recommendations are sound and reflect recognition of ORO missions, policies, and priorities. Work is fully coordinated with all appropriate people.

### Outstanding

Work reflects a superior grasp of the assignment, potential ramifications of various options, creativity, and excellent judgment in formulating conclusions and recommendations; the employee seeks out the ideas, special talents, and expertise of others as appropriate in carrying out assignments, and work is performed rapidly and thoroughly in spite of other workload requirements.

## 2. WORKING RELATIONSHIPS

(This element can be either critical or noncritical, depending on the needs of the position.)

### Marginal

The employee demonstrates adequate communication and human relations skills to work with others inside and outside the organization, represents the organization effectively, and provides necessary coordination of work. The employee is courteous to the public.

### Fully Successful

The employee maintains effective, positive working relationships with others inside and outside the organization as required by the position. This includes demonstrated willingness to consider others' points of view and work as part of a team. Others are kept informed, as appropriate, of the status of the employee's work and any aspects that have an impact on the work of others. In contacts outside the organization, the employee effectively presents and defends established management policies. The employee's actions do not reflect any biases on race, sex, color, religion, national origin, age, or handicapping condition in the treatment of others.

### Outstanding

The employee is extremely effective in handling the most difficult human relationships with a great deal of tact and finesse and is regarded by others outside the organization as especially helpful and fair in work matters. The employee actively promotes and furthers team concepts. Because of the employee's skills in this area, recommendations on even the most controversial matters are usually accepted by all parties involved.

- D. Mandatory Elements for Clerical and Technician Positions. The following two elements are to be used for ORO positions in clerical and technician series. The standards may be modified slightly if

necessary to match job duties more closely. Also, it is recognized that in some rare cases, a particular position may involve little or no interaction within or outside the organization. In these cases, the supervisor may omit the element on Working Relationships from the appraisal plan and document the reasons therefore on the DOE F 3430.7.

## 1. SPECIAL ASSIGNMENTS

This element should be noncritical and would cover any assignments which are not covered under other elements and standards of the appraisal plan. Work of this sort may occur with some task force assignments, miscellaneous or new work, certain developmental assignments, or details to work outside the employee's normal position. This element should only be rated if: (1) the work under consideration is not of the same type, character, or nature as the employee's usual assignments to the extent that it cannot be adequately addressed under another performance element or elements; and (2) the amount of work of this nature occupied a substantial amount of time (approximately 10 percent or more) during the rating period either in a single assignment or in a combination of assignments.

(If this element is not rated, it will have no effect on the overall rating.)

### Marginal

Finished work meets established objectives and time constraints where imposed. Reports and data collection are usually accurate, laid out in accordance with instructions, and are neatly prepared. Few revisions or changes are required.

### Fully Successful

Work is of good quality, thorough, and complete; shows good use of information sources and careful attention to detail; and reflects a thorough understanding of the purposes of the assignment. Work is performed independently and in a timely manner in accordance with priorities established by the supervisor.

### Outstanding

Work reflects a superior grasp of the assignment, its goals and objectives, and excellent judgment. Work is performed rapidly, and assistance is not required to carry out the assignment except on unusually difficult projects. The employee seeks out opportunities to perform additional work at an increasing level of difficulty and is able to handle the additional work without disrupting the regular work. Appropriate problems are brought to

the supervisor's attention; most problems are handled by the employee with exceptional skills.

## 2. WORKING RELATIONSHIPS/CONTACTS

(This element should be critical for secretarial positions at all grades. For other clerical and technician positions, it could be either critical or noncritical, depending on the needs of the position.)

### Marginal

The employee demonstrates adequate communication and human relations skills to work with others inside and outside the organization, represents the organization effectively, and provides necessary coordination of work. The employee is courteous to callers, visitors, coworkers, and the public.

### Fully Successful

The employee maintains effective, positive working relationships with others inside and outside the organization as required by the position. This includes demonstrated willingness to consider others' point of views and work as a part of the team. Others are kept informed, as appropriate, of the status of the employee's work and any aspects that have an impact on the work of others. In contacts outside the organization, the employee courteously and correctly responds to requests to information on matters appropriate to the position. The employee's actions do not reflect any biases on race, sex, color, religion, national origin, age, or handicapping condition in the treatment of others.

### Outstanding

The employee is extremely effective in handling the most difficult human relationships with a great deal of tact and finesse and is regarded by others outside the organization as especially helpful and fair in work matters.

APPENDIX 2. HANDBOOK OF SUGGESTED ELEMENTS AND STANDARDS

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## APPENDIX 2. HANDBOOK OF SUGGESTED ELEMENTS AND STANDARDS

### A. Standards for Clerical Positions.

#### 1. TYPING - TRAINING LEVEL

(This would be a noncritical element for all positions requiring typing at the GS-1 level. For positions at the GS-2 level, it should be critical.)

##### Marginal

Typed material has few typing errors and work is completed in a reasonable time frame in accordance with priorities and deadlines established by the supervisor.

##### Fully Successful

Work shows good typographical accuracy and neatness, is prepared in accordance with format instructions, and generally reflects proper spelling and basic grammar. The employee shows a willingness to learn new typing equipment. Work is completed promptly, almost always within the requested time frame, unless higher priority work is assigned.

##### Outstanding

The employee's work reflects a consistently high degree of accuracy and good knowledge of spelling, punctuation, grammar, and capitalization. The employee independently selects the correct format for letters, memos, and routine typing assignments, and backup material is complete and correctly assembled. Work is completed rapidly, frequently before the requested time frame, and the supervisor can count on the employee to meet deadlines.

#### 2. TYPING - STANDARD LEVEL

(This would be a critical element for all clerical positions requiring typing at the GS-3 through GS-5 levels. If used in a secretarial (typing) position at the GS-6 or the GS-7 level, it may be critical or noncritical depending on the position.)

Marginal

Typed material has few typing and basic grammatical/punctuation errors, and work is completed in a reasonable time frame in accordance with priorities and deadlines established by the supervisor. Assistance may occasionally be required on proper format and assembly.

Fully Successful

The employee quickly learns all required typing/word processing equipment and systems used in the office. Punctuation, spelling, capitalization, and grammar are correct, and work reflects good typographical accuracy, attractive layout, and neatness. Work is completed promptly, almost always within the requested time frame, unless higher priority work is assigned. Backup material is usually complete and in order, and the employee independently selects the correct format.

Outstanding

The employee's work reflects such a consistently high degree of accuracy and grammatical correctness that the supervisor is routinely able to dispense with proofreading and still be assured that the product does not contain typographical or grammatical errors. Work is completed rapidly, frequently before the requested time frame, and the supervisor can count on the employee to meet all deadlines in spite of a heavy workload. The employee does not need assistance on format or procedures unless the work represents a completely new assignment.

3. STENOGRAPHY

(This element should be critical for any clerk-steno position at the GS-4 level where the grade of the position is based on stenography. In other steno or secretary (steno) positions, it may be critical or noncritical, depending on the relative importance of stenography to the entire position. This element should be used in conjunction with the element for typing.)

Marginal

Dictation is taken at a moderate talking speed, with only occasional interruptions for repeats of specialized or technical terms. Transcription is generally completed in a reasonable time frame in accordance with priorities and deadlines established by the supervisor and is generally accurate. Assistance may occasionally be required on identifying technical terms.

### Fully Successful

Dictation is taken at moderate talking speed, including technical terms commonly used within the organization. Transcription is completed promptly, almost always within the requested time frame unless higher priority work is assigned. Transcription is completed independently and is accurate.

### Outstanding

Dictation is taken at whatever speed is required of the assignment, and repeats are not necessary even for unfamiliar technical terms. Completed work reflects such a consistently high degree of transcription accuracy that the supervisor is able to dispense with proofreading and still be assured that the product does not contain errors. Work is completed rapidly, frequently before the requested time frame, and the supervisor can count on the employee to meet all deadlines in spite of a heavy workload.

## 4. TYPING AND STENOGRAPHY

(This element should be used for secretarial positions at GS-6 and GS-7 levels which require both typing and stenography, and should be noncritical for most such positions. This element may also be used instead of the separate Typing and Steno elements in secretarial positions at the GS-4 and GS-5 levels. At the GS-4 and GS-5 levels, this should be critical.)

### Marginal

Dictation is taken at a moderate talking speed, with only occasional interruptions for repeats of specialized or technical terms. Transcription and other typing is generally completed in a reasonable time frame in accordance with priorities and deadlines established by the supervisor. Completed work has few typing, transcription, and basic grammatical/punctuation errors. Assistance may occasionally be required on proper format and assembly.

### Fully Successful

Dictation is taken at moderate talking speed, including technical terms commonly used within the organization. Transcription and other typing is completed promptly, almost always within the requested time frame, unless higher priority work is assigned. Transcription, punctuation, spelling, capitalization and grammar are correct and work reflects good typographical accuracy, attractive layout, and neatness. Work is completed promptly, almost always within the requested time frame, unless higher priority work is assigned. Backup material is usually complete

and in order, and the employee independently selects the correct format.

#### Outstanding

Dictation is taken at whatever speed is required of the assignment, and repeats are not necessary even for unfamiliar technical terms. Completed work reflects such a consistently high degree of typographical, grammatical, and transcription accuracy that the supervisor is able to dispense with proofreading and still be assured that the product does not contain errors. Work is completed rapidly, frequently before the requested time frame, and the supervisor can count on the employee to meet all deadlines in spite of a heavy workload. The employee does not need to ask questions on format or procedures unless the work represents a completely new assignment.

#### 5. PROCEDURAL/CLERICAL - TRAINEE LEVEL

(This element is to be used as a critical element in all clerical positions at GS-1 or GS-2 levels. This would cover all standard clerical duties such as processing mail, filing, relaying messages, preparing travel orders, etc.)

#### Marginal

All procedural and clerical work is generally completed in a timely manner in accordance with instructions. Work is usually accurate and neat. Callers and visitors are usually referred to the appropriate person, and messages are clear and accurate.

#### Fully Successful

Work is complete, thorough, and accurate. The employee independently completes routine assignments in accordance with instructions and standard procedures; instructions and assistance are usually required only for new or nonroutine tasks. The employee shows willingness to learn new assignments, does not waste time, and work is completed promptly commensurate with the difficulty of the task. Simple, frequently asked procedural questions related to the work of the office are answered correctly.

#### Outstanding

Work is produced very rapidly, and reflects unusually good knowledge and understanding of the procedures involved in performing work assignments, given the length of experience in the job. Assistance is rarely needed on regular work assignments, and work displays an exceptional degree of accuracy. Appropriate

problems are brought to the supervisor's attention; routine problems are dealt with skillfully by the employee in accordance with established precedents.

6. PROCEDURAL/CLERICAL - STANDARD LEVEL

(This element is to be used as a critical element in all Typist, Steno, and Secretarial positions at GS-3 and GS-4 levels. This element is intended to cover all standard clerical duties such as processing mail, filing, relaying messages, preparing travel orders, etc. Duties which are not included in a particular job may be omitted by deleting the appropriate paragraph. Additional clerical duties may be substituted either in this element or in a separate element if they are important enough to warrant separate treatment.)

Marginal

All procedural and clerical work is generally completed in a timely manner in accordance with instructions and standard procedures. Work is usually accurate, correctly processed, and assistance is only occasionally required on instructions and procedures.

Mail is sorted in accordance with instructions and is usually distributed within a reasonable time frame. Sorting and distribution are usually correct; assistance may occasionally be required to determine the appropriate recipient.

Assigned filing is normally completed within allotted time, and is performed accurately in accordance with instructions. Extra assistance may occasionally be required on identification of the appropriate subject category.

Callers and visitors are usually referred to the appropriate person, and messages are clear and accurate.

Fully Successful

Work is complete, thorough, and accurate. The employee independently completes routine and repeat assignments; instructions and assistance are only required for new or nonroutine tasks. Work is completed promptly.

Mail is sorted independently, accurately, and promptly. Assistance is only needed on new or misdirected items.

Files are complete, in order, and properly classified. The employee periodically eliminates outdated file material. File searches are conducted in a timely manner, and the employee and

others are able to readily locate desired materials. Work is performed independently.

Telephone and other messages are relayed promptly and correctly, and procedural questions related to the work of the office are answered correctly.

### Outstanding

Work is neat, produced very rapidly, and reflects excellent knowledge and understanding of the procedures and precedents involved in performing work assignments. Assistance is rarely needed; work displays an exceptional degree of accuracy, and the supervisor is able to dispense with review and still be confident that the products are correct. Appropriate problems are brought to the supervisor's attention; most problems are dealt with routinely by the employee and with exceptional skill. The employee is able to identify the best methods of performing work assignments and to recommend improved procedures.

## 7. OFFICE MANAGEMENT

(This element is used rather than Procedural/Clerical Work for GS-5, GS-6, and GS-7 level secretaries and should be critical for most positions. This element would cover the full range of office administrative activities, such as arranging for support services, establishing and maintaining various office procedural systems, scheduling appointments and arranging meetings, making travel arrangements, etc. Duties which are not included in a particular job may be omitted by deleting the appropriate paragraph. Additional office management duties may be substituted either in this element or in a separate element if they are important enough to warrant separate treatment.)

### Marginal

Arranges for office support services required for daily operation of the office. Delays and inconveniences do not usually occur, and the employee does not usually need assistance in providing routine services. Work is completed in a generally timely manner and in accordance with instructions and standard office procedures. Information and guidance on changes in office procedures are relayed to subordinate staff in a timely manner.

Mail is independently and correctly sorted and logged in accordance with standing instructions and is usually distributed within a reasonable time frame. The employee tracks suspense dates of action items and reminds the appropriate person of upcoming due dates.

Assigned filing is normally completed within allotted time, and is performed accurately and independently in accordance with standing instructions.

#### Fully Successful

As a result of the incumbent's ability to anticipate and arrange for support services and to organize and coordinate work assignments, the office operates smoothly and tasks are accomplished in an efficient and timely manner. Work is complete, thorough, and accurate. Appropriate personnel are kept fully informed of office procedures and changes thereto, and the employee assists others as necessary in such matters.

Mail is logged and sorted independently, accurately, and promptly, and the employee routinely provides appropriate background information or files which may be of assistance in responding to correspondence. Signature and concurrence mail are reviewed for grammatical, typographical, and procedural accuracy and for clarity of expression and responsiveness. The employee resolves problem issues, such as misdirected items, necessary changes in signature or concurrence mail, etc., without supervisory involvement, and establishes procedures for the handling of mail by subordinate offices. Routine matters, such as requests for readily available information or work status, are handled independently and correctly by the secretary.

Files are complete, in order, and properly classified. The employee establishes standing filing procedures and assures that outdated file material is periodically eliminated. The employee and others are able to readily locate desired materials. Work is performed independently.

#### Outstanding

Office and clerical work is produced very rapidly and displays an excellent knowledge and understanding of the procedures and precedents involved in performing work assignments. Assistance is rarely needed, even on unusual and complex assignments; work displays an exceptional degree of accuracy, and the supervisor is able to dispense with review and still be confident that the products are correct. Appropriate problems are brought to the supervisor's attention; most problems are dealt with routinely by the employee and with exceptional skill. The employee demonstrates superior organizational skills in identifying the best methods of performing work assignments and establishing new or streamlined office procedures and systems to enhance the effectiveness and efficiency of office operations.

## 8. OFFICE PRACTICES

(This element should be used as a noncritical element for positions at GS-1.)

### Marginal

The employee generally arrives on time, calls the supervisor prior to the scheduled starting time when late, and has leave approved by the supervisor in advance, except for bona-fide emergencies.

### Fully Successful

In addition to Marginal, the employee can be relied upon to notify the supervisor or a senior worker when necessary to leave the office and follows appropriate procedures for setting and changing work schedules.

### Outstanding

The employee demonstrates exceptional understanding and knowledge of good office practices, including taking initiative to ensure that the telephones are covered at all times and considering the needs of the office and other employees in scheduling leave and leaving the work site. The employee is exceptionally reliable in matters relating to attendance and office policies and practices.

## B. Standards for Professional and Administrative Positions.

### 1. PROGRAM MANAGEMENT

(This element would be appropriate as a critical element for many supervisory and PMRS nonsupervisory positions.)

#### Marginal

Program activities generally meet requirements of applicable laws, regulations, and policies. The employee's supervisor may need to redirect priorities and become involved in technical areas on occasion to resolve difficult problems. Work also reflects a knowledge of DOE's responsibilities to assure protection of employee and public health and safety, the environment, national security interests, and quality control. Regulatory requirements in each of these areas are met without the need for more than occasional intervention from the employee's supervisor.

#### Fully Successful

Work reflects logical, consistent, and sound interpretation of program regulations and policies. Work products or services are

produced in a timely manner commensurate with workload without the need for direct supervisory intervention; work is appropriately staffed, technically accurate, and effectively communicated. Office priorities are set in a manner consistent with overall ORO (OSTI) goals and objectives. Advice and assistance to operating officials is sound, responsive to the issues, and constructive. The employee is aware of key features of regulations and policies related to employee and public health and safety, environmental protection, national security, competition in contracting, procurement, and quality control; and independently recognizes the need for and obtains assistance from the appropriate support organizations in making or implementing program management decisions. Work demonstrates active support for ORO (OSTI) policies and goals in these areas.

### Outstanding

Program activities are high quality, thorough, and professional, and reflect not only technical mastery of the program area but also a superior knowledge of the goals and objectives of ORO (OSTI) and the relationship of the program area to those goals. The employee has exerted a major positive influence on management practices, operating procedures, and program implementation which has contributed substantially to the accomplishment of organizational goals. The employee anticipates potential trouble areas and deals with difficult issues intelligently, constructively, effectively, and in a timely manner. The employee produces an exceptional quantity of work, often ahead of established schedules, and with little need for intervention by the employee's supervisor.

## 2. PROGRAM (PROJECT) PLANNING/BUDGETING

(This element would be appropriate in many supervisory jobs and also in some nonsupervisory program/project management positions. Depending on the position, it may or may not be critical.)

### Marginal

Goals and objectives generally convey DOE and ORO (OSTI) priorities, although objectives may occasionally be vague or milestones are occasionally not met. Assessments and long-range analyses are prepared or reviewed in a generally timely manner, address most concerns, are generally realistic and complete, and provide an adequate basis for the implementation of the program. Review of budget documents is sufficient to assure that funds are generally being appropriately spent.

### Fully Successful

Develops or reviews program objectives, budget documents, analyses, and other long- and short-range planning documents as assigned. Work reflects thorough evaluation, planning, knowledge of the program and program issues, conformance to DOE/ORO (OSTI) policies and standards, and sound judgment. Makes decisions on or develops recommendations for new or revised procedures and policies as necessary to solve fiscal and technical problems with only limited assistance from higher levels of management. Work is performed in a timely manner, and all major milestones and objectives are achieved. Communications are clear and effective, and all work is coordinated with others, as appropriate.

### Outstanding

Initiative and foresight are evident in anticipating potential problems and program changes and devising alternative plans or strategies to minimize negative effects on program or project objectives. Presents management with innovative approaches and viable alternatives for resolving important planning and budget issues effectively. Employee planning skills are clearly exceptional and result in increased programmatic effectiveness.

## 3. POLICY AND STANDARDS DEVELOPMENT

(This element is appropriate for some senior nonsupervisory positions involved in developing and recommending policies and standards. It may be either critical or noncritical depending on the demands of the position.)

### Marginal

Reviews assigned directives, policies, and standards and prepares comments, draft instructions, procedures, or directives as appropriate. Work demonstrates an understanding of the issues and identification of major problems to be addressed; draft policy/standards documents generally meet applicable regulatory requirements.

### Fully Successful

Work reflects a good understanding of the issues, a solid knowledge of the specialty area, and the application of seasoned judgment to the assignment. The employee seeks input from appropriate sources; work is complete, thorough, well documented, and appropriate in depth and coverage. Work is completed in a timely manner, and subsequent revisions are limited to policy matters. Advice and recommendations are presented in a positive, helpful manner.

### Outstanding

Work reflects exceptional knowledge of the specialty field, interrelationships with other fields, and a broad management perspective. The employee shows initiative and creativity in identifying potential problems, conflicts, and need for guidance; considers all sides of a problem and recommends sound and appropriate solutions. Recommendations on policy matters are usually accepted; the employee is recognized by peers and management as an expert in policy interpretation.

#### 4. DESIGN REVIEW

(This element would be appropriate in many engineering positions in a number of organizations and could either be critical or noncritical depending on the demands of the position.)

### Marginal

Generally conducts design reviews in a timely manner and in accordance with sound engineering practices; some assistance from the supervisor on more complex technical matters may occasionally be required. Comments, reports, and recommendations related to design review activities are usually sound, pertinent to the issues involved, and require few changes. Completed work is appropriately communicated to supervisory and program officials.

### Fully Successful

Work is consistently performed independently in a timely and thorough manner and reflects full professional knowledge of design considerations as well as DOE/ORO policies and requirements. Review activities are fully documented, recommendations are fully coordinated with appropriate levels within DOE and contractor organizations, and both oral and written communications are clear and effective.

### Outstanding

Work reflects a clearly superior professional knowledge and technical mastery of the functional area and its interrelationships with other areas which results in the accomplishment of objectives that would otherwise not be met. The employee takes the initiative in resolving complex problems, assuring that all appropriate regulatory and policy requirements are achieved, and that reviews are completed promptly to maintain the established schedule. The employee is extremely effective in both oral and written communications, and is able to reach satisfactory results even under the most difficult situations.

5. PROGRAM ASSIGNMENT ELEMENTS. (These elements would be appropriate for positions which have functional responsibilities in a particular program or area. Standards for several different grade levels are given which describe typical patterns of growth in responsibility within the work assignment. These may be used as a pattern for the development of more specific elements and standards.)

- a. LEAD PROGRAM ASSIGNMENT - GS-13 (CRITICAL)

Marginal

Takes lead responsibility for designated programs, specified disciplines, or contractor/facility/organizational assignment(s). Performs inspections, appraisals, evaluations, system or facility reviews as appropriate, together with necessary reporting, recordkeeping, and recommendations so as to adequately monitor facility or program performance. Work reflects full technical knowledge of programs/disciplines, applicable regulations and policies, and the provision of generally sound advice to others, as appropriate. Work is generally performed in a timely manner, without causing serious delays or problems in ORO (OSTI) programs or projects.

Fully Successful

Work consistently reflects thorough technical understanding and analysis, the application of sound judgment, the application of preferred ORO (OSTI) policies, and is thoroughly coordinated with all appropriate participants. The employee is aware of key features of regulations and policies related to employee health and safety, environmental protection, security, procurement, and quality control, as applicable to the position. Advice and recommendations are appropriate, responsive to issues, clear, and well-presented. Work is performed independently, completed in a timely manner in accordance with sound, logical priorities, and is appropriately documented.

Outstanding

Work reflects exceptional technical knowledge and skills far beyond that normally expected of the position. Accuracy and thoroughness is superior; the employee plans work to handle potential problems and adapts quickly to new priorities and changes in procedures and programs without losing sight of the long-term purpose of the work. Work demonstrates a high degree of initiative, and the resolution of the most difficult problems is handled routinely and with exceptional skill. Both written and oral communications are exceptionally clear

and effective, and the employee is able to achieve desirable outcomes even in the most difficult or touchy situations.

b. LEAD PROGRAM ASSIGNMENT - GS-12 (CRITICAL)

Marginal

Takes primary staff responsibility for designated programs, specified disciplines, or contractor/facility/organizational assignment(s). Performs inspections, appraisals, evaluations, system or facility reviews as appropriate, together with necessary reporting, recordkeeping, and recommendations so as to adequately monitor facility or program performance. Work reflects full technical knowledge of programs/disciplines, applicable regulations and policies, and the provision of generally sound advice to others, as appropriate. Work is generally performed in a timely manner, without causing serious delays and problems in ORO (OSTI) programs or projects.

Fully Successful

Work consistently reflects thorough technical understanding and analysis, the application of sound judgment, the application of preferred ORO (OSTI) policies, and is thoroughly coordinated with all appropriate participants. The employee is aware of key features of regulations and policies related to employee health and safety, security, procurement, and others which impact on the assignment. Advice and recommendations are appropriate, responsive to issues, clear, and well-presented. Work is performed independently, completed in a timely manner in accordance with sound, logical priorities set in cooperation with the supervisor, and is appropriately documented.

Outstanding

Work reflects exceptional technical knowledge and skills far beyond that normally expected of the position. Accuracy and thoroughness are superior; the employee plans work to handle potential problems and adapts quickly to new priorities and changes in procedures and programs without losing sight of the long-term purpose of the work. Work demonstrates a high degree of initiative, and the resolution of difficult problems is handled routinely and with exceptional skill. Both written and oral communications are exceptionally clear and effective, and the employee is able to achieve desirable outcomes even in difficult or touchy situations.

c. LEAD PROGRAM ASSIGNMENT - GS-11 (CRITICAL)

Marginal

Is assigned primary staff responsibility for tracking and monitoring designated programs, specified disciplines, or contractor/facility/organizational assignment(s). Performs inspections, appraisals, evaluations, system or facility reviews as appropriate, together with necessary reporting, recordkeeping, and recommendations. Work reflects full technical knowledge of programs/disciplines, applicable regulations and policies, and the provision of generally sound advice to others, as appropriate. Work is generally performed in a timely manner, without causing serious delays or problems in ORO (OSTI) programs or projects.

Fully Successful

Work reflects thorough technical understanding and analysis, the application of sound judgment, the application of preferred ORO (OSTI) policies, and is thoroughly coordinated with all appropriate participants. The employee is aware of the existence of regulations and policies in other fields which impact on the assignment, and seeks further information when necessary. Advice and recommendations are appropriate, responsive to issues, clear, and well-presented. Work is performed independently except for the most complex and difficult assignments, is appropriately documented, and is completed in a timely manner in accordance with sound, logical priorities set in cooperation with the supervisor.

Outstanding

Work reflects a high level of technical knowledge and skill, far beyond that normally expected of this experience level. Accuracy and thoroughness are superior; the employee plans work to handle potential problems and adapts quickly to new priorities and changes in procedures and programs without losing sight of the long-term purpose of the work. Work demonstrates a high degree of initiative and creativity in devising workable solutions to problems. Both written and oral communications are exceptionally clear and effective, and the employee is routinely able to achieve desirable outcomes in the full range of assignments covered by the position.

d. PROGRAM ASSIGNMENT - GS-9 (CRITICAL)

Marginal

Is assigned staff responsibility for tracking and monitoring designated programs, specified disciplines, or contractor/facility/organizational assignment(s). Performs inspections, appraisals, evaluations, system or facility reviews in accordance with standing office practices, together with necessary reporting, recordkeeping, and recommendations. Work reflects full technical knowledge of the professional field and a basic understanding of assigned programs, applicable regulations, and office policies. With few exceptions, provides accurate and timely information on program regulations, policies, and requirements in response to requests or when significant changes occur. Work is generally performed in a timely manner without causing serious delays or problems in ORO (OSTI) programs or projects. Keeps supervisors, line management, and contractors informed of the status of work actions.

Fully Successful

Work reflects good technical understanding and analysis, the application of sound judgment, adherence to policies and instructions, and is thoroughly coordinated with all appropriate participants. Analyses and recommendations are sound, thorough, clear, well-presented, and are usually accepted by the supervisor on review. Routine assignments are performed independently; work is appropriately documented and completed in a timely manner in accordance with the difficulty of assignments and priorities set by the supervisor.

Outstanding

Work reflects a high level of technical knowledge and skills, far beyond that normally expected of this experience level. Accuracy and thoroughness are superior; the employee independently handles work typical of a higher grade level and is able to keep sight of the long-term purpose of the work. Both written and oral communications are exceptionally clear and effective; advice and guidance reflect a depth of judgment and understanding of the issues highly unusual for a person at this experience level.

e. PROGRAM ASSIGNMENT - GS-7 (CRITICAL)

Marginal

Performs inspections, appraisals, evaluations, system or facility reviews in the lead area as assigned, and prepares reports, records, and recommendations so as to adequately monitor facility or program performance. Work reflects full professional knowledge of the basic theories and principles in the assigned discipline. Recommendations and analyses are generally sound although some assistance from the supervisor may be required in identifying features specific to the program area/facility. With few exceptions, provides accurate and timely information on program regulations, policies, and requirements in response to requests or when significant changes occur. Keeps supervisors, line management, and contractors informed of the status of work actions. Work is generally performed in a timely manner, without causing serious delays or problems in ORO (OSTI) programs or projects.

Fully Successful

Work reflects good technical understanding and analysis, adherence to policies and instructions, and is coordinated with all appropriate participants. Analysis and recommendations show sound and logical thought processes and are usually accepted on review. Work is produced in a timely manner relative to the difficulty of assignments and priorities set by the supervisor. Advice and guidance are sound, responsive to the issues, and clear.

Outstanding

Work reflects an unusually quick grasp of the work assignments, programs, organizations, and applicable regulations, far beyond that normally expected of a trainee. Assistance in completing work and developing sound recommendations is needed only for complex and difficult assignments. Accuracy and thoroughness are superior, and the employee is able to keep sight of the long-term purpose of the work. Both written and oral communications are exceptionally clear and effective. Advice and guidance reflect a depth of judgment and understanding highly unusual for a person at this experience level.

6. Assistance to Line Management Elements. These elements would be appropriate for many positions which involve advisory services to management as a regular part of the job. Depending on the level of involvement, this could be either critical or noncritical.

Standards for several grade levels are given which describe typical patterns of growth in responsibility within the element. These may be used as is or as a pattern for the development of more specific elements and standards.

a. ASSISTANCE TO LINE MANAGEMENT - GS-13

Marginal

With few exceptions, provides accurate and timely information and advice on program regulations, policies, and requirements in response to requests or when changes occur. Recommends workable solutions to problems and keeps line management informed of the status of contractor programs and plans.

Fully Successful

Keeps informed of proposed changes in regulations and policies, assesses their impact on ORO (OSTI) programs, identifies trends in (contractor) performance, and effectively communicates this information to appropriate levels of contractor and DOE management. Advice and recommendations are sound, factual, and timely. Contacts with contractors, line management, Federal, state, and local officials are carried out in a professional manner; and explanations, requests, advice, and recommendations are presented clearly and effectively.

Outstanding

The employee seeks out methods to improve channels of communication and understanding between DOE and contractor organizations and continually promotes a spirit of cooperation among all parties involved. Seeks out ways to improve the quality of support provided by the organization through gaining a thorough understanding of the ORO (OSTI) missions and priorities and of the work of others in the organization; crossing lines and offering assistance to others during peak workloads; and resolving problems at the lowest appropriate level.

b. ASSISTANCE TO LINE MANAGEMENT - GS-9

Marginal

With few exceptions, provides accurate and timely information and advice on program regulations, policies, and requirements in response to requests or when changes occur. Assistance from the supervisor is only occasionally required in locating the appropriate reference or in interpreting the information.

Keeps supervisors and line management informed of the status of (contractor) programs and plans.

Fully Successful

Keeps informed of proposed changes in regulations and policies, assesses their impact on ORO (OSTI) programs, identifies trends in (contractor) performance, and effectively communicates this information to appropriate levels of contractor and DOE management. The employee uses good judgment in discussing more complex issues with the supervisor while performing routine work independently. Work is performed in a timely and professional manner; and explanations, requests, advice, and recommendations are presented clearly and effectively.

Outstanding

The employee has an unusually good understanding of the ORO (OSTI) missions and priorities, of the work of others in the organization, and of the structure of the organizations served, given the length of experience. This depth of knowledge shows in the quality of work performed, impact and trends identified, and recommendations developed. The employee shows initiative in identifying workable methods to improve the quality of support provided by the organization.

7. Contractor Monitoring and Evaluation Elements. These elements would be appropriate for many positions which involve tracking and appraising contractor performance. Depending on the level of involvement and the importance of this duty to the overall job, this could be either critical or noncritical. Standards for several grade levels are given which describe typical patterns of growth in responsibility within the element. These may be used as is or as a pattern for the development of more specific elements and standards.

- a. CONTRACTOR MONITORING AND EVALUATION - GS-12 OR GS-13

Marginal

Appraisals are conducted in accordance with schedules and priorities mutually established with the respective Contracting Officers' Representatives (CORs). With few exceptions, reports are prepared within established time frames and meet all procedural requirements. Recommendations are appropriate and are followed through to final resolution.

Fully Successful

Work is timely, well planned, and reflects a thorough knowledge of program requirements. Recommendations reflect proper consideration of alternatives, cost-effectiveness, and program impacts. Written reports are thorough and complete and show an in-depth understanding of contractor problems, successes, and programs. Recommendations have a sound basis, and the status of recommendations is continually monitored and updated until final resolution. Explanations and advice are presented to contractors and management in a positive and constructive manner, and CORs and line management are kept informed on a timely basis of significant issues and problem situations.

Outstanding

Work reflects strong initiative and superior knowledge of the activity, program requirements, and operational concerns. The employee assesses all sides of an issue and is creative and helpful in proposing actions which will best meet current needs and avoid future problems. This balanced, problem-solving approach is extremely effective in gaining ready acceptance of recommendations and speedy resolution of action items.

b. CONTRACTOR MONITORING AND EVALUATION - GS-9

Marginal

Appraisals are conducted in accordance with schedules and priorities set by the supervisor or a senior employee. Reports are prepared in accordance with instructions and policies and, with few exceptions, are prepared within established time frames. Recommendations are generally sound and appropriate, and the employee is able to independently identify most problems. Accepted recommendations are followed through to resolution.

Fully Successful

Work reflects a good knowledge of requirements for monitoring and evaluating contractor performance in the assigned program area. Recommendations reflect awareness of alternatives, cost-effectiveness, program impacts, and the application of sound judgment. Written reports are thorough, complete, and show good understanding of contractor problems, successes, and programs. Recommendations have a sound basis, and the status of recommendations is continually monitored and updated until final resolution. Explanations and advice are presented to

contractors and management clearly and constructively, and the supervisor, CORs and line management are kept informed on a timely basis of significant issues and problem situations.

Outstanding

Work reflects unusually good knowledge of the activity, program requirements, and operational concerns, far beyond that expected of a person at this experience level. The employee is able to independently perform monitoring and evaluation assignments beyond those typical of the grade level; work shows understanding of all sides of an issue and creativity and mental flexibility in proposing actions to solve problems. Work is completed rapidly, and the employee is able to handle an unusually heavy workload for the experience level.

c. CONTRACTOR MONITORING AND EVALUATION - GS-7

Marginal

Appraisals are conducted in accordance with schedules and priorities set by the supervisor or a senior employee. Reports are prepared in accordance with instructions and policies and, with few exceptions, are prepared within established time frames. Recommendations are generally sound although some assistance may be required from the supervisor on more complex issues. Accepted recommendations are followed through to resolution.

Fully Successful

Work reflects a good knowledge of requirements for monitoring and evaluating contractor performance in the assigned program area. Recommendations reflect awareness of alternatives, cost-effectiveness, and program impacts. Written reports are thorough, complete, and show good understanding of contractor problems, successes, and programs. Recommendations have a sound basis, and the status of recommendations is continually monitored and updated until final resolution. Explanations and advice are presented to contractors and management clearly and concisely, and the supervisor, CORs, and line management are kept informed on a timely basis of significant issues and problem situations.

Outstanding

Work reflects unusually good knowledge of the activity, program requirements, and operational concerns, far beyond that expected of a person at this experience level. The

employee is able to independently perform monitoring and evaluation assignments beyond those typical of the grade level; work shows understanding of all sides of an issue and creativity and mental flexibility in proposing actions to solve problems. Work is completed rapidly, and the employee is able to handle an unusually heavy workload for the experience level.

#### 8. COMPETITION IN CONTRACTING - STAFF

(This standard would be appropriate for employees with a direct line or decision-making influence over specific acquisitions, such as a contracting officer, a contracting officer technical representative, a competition advocate, etc. Depending on the position, it may be either critical or noncritical.)

##### Marginal

Work generally meets the requirements of the Competition in Contracting Act (CICA) for assuring full and open procurements. Work is generally performed in a timely manner such that significant delays in procurement actions do not occur. The employee is able to respond to routine questions concerning competition requirements promptly.

##### Fully Successful

Acquisition planning is completed in sufficient time to assure adequate competition, and the employee meets approved milestones and goals established in the plans. Specifications are drafted in a manner that will enhance competition while still meeting acquisition needs. Advice on acquisitions reflects a good working knowledge of the CICA requirements and implementing regulations and policies.

##### Outstanding

Work reflects a superior knowledge and commitment to full and open competition in procurements. The employee is innovative and skillful in identifying and assessing real program needs while assuring broad competition to meet those needs. Work is performed rapidly, frequently ahead of established procurement milestones. Advice and recommendations are comprehensive, cost-effective, consider all aspects of a particular situation, and further the goals of the CICA.

#### 9. DOCUMENT ACCOUNTABILITY ACTIVITIES

(This element may be appropriate for positions involved in document accountability activities where this occupies enough time

to merit a separate element - usually at least 10 percent. Depending on the amount of time spent, the element could be either critical or noncritical.)

#### Marginal

Document accountability files for the control point are generally in compliance with established operating procedures. Backlog filing of documents assigned to the control point is kept current on at least a weekly basis and is organized so that any record requested can be located within 2 hours of searching. Inventories required by the Control Point Protection Plan are performed in a timely manner. Documentation on the DOE/ORO (OSTI) Document Accountability System is maintained in a current state; the employee is able to answer routine questions on procedures for handling classified information with only minimal consultation with reference material. Secure control is maintained of documents, data base inventory, and update diskettes, and the document accountability control forms as appropriate based on the classification level of each.

#### Fully Successful

Up-to-date and accurate document accountability files are maintained for all records assigned to the control point, and all records requested are easily located. Inventories do not reveal any documents missing because of the employee's failure to follow prescribed practices and procedures. The employee provides sound, correct answers and advice, as requested, on the proper procedures for handling classified information. Correctly ascertains "need to know" for specific documents before release.

#### Outstanding

In addition to the requirements for lower levels, work reflects a thorough knowledge of procedures, regulations, and possible ramifications associated with mishandling classified information. Work is performed rapidly and thoroughly in spite of other workload requirements. Assistance is rarely needed, even on unusual and complex assignments; work displays an exceptional degree of accuracy, and the supervisor can dispense with detailed oversight and remain confident that document accountability issues will be handled correctly. The employee demonstrates superior knowledge of the procedures for handling classified information through the ability to effectively handle the most difficult document accountability situations and is consulted by others to ensure that regulatory and policy requirements are achieved.

## 10. EMERGENCY PREPAREDNESS ACTIVITIES

(This element would be appropriate as either a critical or noncritical element of any position with substantial involvement in emergency preparedness activities.)

### Marginal

The employee's participation in emergency activities is generally in conformance with law, regulations, and ORO policies and programs, including any applicable time constraints. Attends all assigned activities unless excused in accordance with appropriate procedures; technical work (whether clerical, administrative, or professional in nature) is generally accurate and does not result in inappropriate emergency responses.

### Fully Successful

In addition to performance described at the marginal level, work reflects logical and sound application of program policies and procedures and good common sense and judgment in dealing with emergency situations, simulations and exercises, and planning activities. Work performed is technically accurate; completed independently, as appropriate, to the nature of the activity; properly coordinated with others involved; and performed in a timely manner.

### Outstanding

Work reflects a truly superior grasp of the technical aspects of the activity as well as the overall structure of the emergency preparedness program and its interrelationship with other ORO/contractor organizations and local, state, and federal emergency organizations. The employee is recognized as an expert in emergency response activities for which he/she is responsible, and can always be relied upon to respond to assignments and complete the work very rapidly, with extremely high quality decisions and/or recommendations, no matter how difficult the particular situation.

## 11. EEO COLLATERAL DUTIES

(This element would be appropriate for any employee involved in the EEO program as a counselor, committee member, program advisor, etc. Since this activity is a collateral-duty assignment, the element should be noncritical.)

Marginal

The employee's participation in EEO activities is generally in accordance with law, regulations, and the DOE/ORO policies and programs, including any applicable time constraints. Actively participates in assigned functions and maintains confidentiality, as appropriate, in accordance with program guidelines.

Fully Successful

Work reflects good knowledge of and commitment to policies, regulations, and laws governing EEO and affirmative action, as well as the application of sound judgment. The employee is an effective advocate of the program. The employee coordinates the performance of EEO duties with other assigned duties to assure that priorities in both areas are met.

Outstanding

The employee is recognized throughout the organization as being especially knowledgeable in EEO matters, and is regarded as being fair, impartial, and innovative in negotiating or recommending acceptable solutions to problems. The employee plays an especially active role in planning and carrying out program activities which are interesting, informative, effective, and which further the goals of the EEO program.