

DOE/ORO CONTROL FORM - ORO FINAL DIRECTIVE

PART A (To be completed by the Division of Primary Interest (DPI))

1. **NUMBER AND TITLE OF DIRECTIVE:** **ORO O 330, Chapter I, Change 2, EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM**

2. **PURPOSE OF TRANSMITTAL:** New Directive Revised Directive

3. **THIS DOCUMENT MAY AFFECT THE WORK PERFORMED BY THE FOLLOWING CONTRACTORS:** (Check appropriate boxes)

No (all contractors)

Yes If yes, whom? Bechtel Jacobs Co. ORAU UT-Battelle

Other contractors (list by type)

Many ORO contractors have approved S/RIDs or WSS sets that may affect applicability of contractor requirements from this directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.

4. **SIGNIFICANT PROVISIONS:** Are there any significant changes or impact? No Yes
If yes, describe: Changes to this Chapter include revisions to Attachment 1, Paragraph 1a(1) and Figure 1-1 Sample.

5. **CONTACT POINT:** Melanie Kent Personnel & Management Analysis Branch, AD-442 576-0673
Name Organization Telephone

PART B (To be completed by the Directives Management Group (DMG)):

6. **FILING INSTRUCTIONS:**

<u>Remove</u>	<u>Dated</u>	<u>Insert</u>	<u>Dated</u>
ORO Control Form	06/12/2003	ORO Control Form	04/08/2004
ORO O 330, Chapter I, Chg. 1	06/12/2003	ORO O 330, Chapter I, Chg. 2	04/08/2004

ORO Directives are available on the ORO Directives Management Home Page at http://www.ornl.gov/doe_oro_dmg/oro_dir.htm. The ORO Directives will no longer be mailed in printed copy unless you do not have Internet capabilities.

7. **APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH THE OFFICIAL DIRECTIVES DISTRIBUTION LIST:**

Original Signed By
Wayne H. Albaugh 04/08/2004
Signature: DMG Team Leader, AD-440 Date

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

Rev. 01/10/2003

NNSA/YSO CONTROL FORM – FINAL DIRECTIVE

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

DIRECTIVE NUMBER, TITLE, AND DATE:

**ORO O 330, CHAPTER I, CHANGE 2, EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM,
dated 04/08/2004**

PURPOSE OF TRANSMITTAL: New Directive Revised Directive**DOES THIS DIRECTIVE CANCEL/REPLACE OR EXTEND ANY OTHER DIRECTIVES?** Yes No
If "Yes," list what action (cancel/replace or extend) and list the Directive(s), including the number(s), title(s), and date(s):

This Directive cancels and replaces ORO O 330, Chapter I, Change 1, EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM , dated 06/12/2003.

The attached Directive is forwarded for review and action. Complete Part B and forward this form to ORO DMG, AD-440, by **04/23/2004**.

PART B (To be completed by the NNSA Y-12 SITE OFFICE, Y12-01):

CONTRACTOR APPLICABILITY:**Does this Directive affect the work performed by BWXT Y-12, L.L.C.?** Yes No**Does this Directive affect the work performed by BWXT Y-12, L.L.C., subcontractors?** Yes No**If "Yes,"** list the subcontractors:

Many contractors have approved Standards/Requirements Identification Documents (S/RID) or Work Smart Standards (WSS) Sets that may affect applicability of contractor requirements from this Directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.

SIGNIFICANT PROVISIONS: Are there any significant changes or impacts? Yes NoList summary of Directive changes and, **if "Yes"** above, describe the significant changes or impacts:**IMPLEMENTATION:** Does the Directive contain special implementation requirements and/or dates? Yes No**If "Yes,"** describe:**FOR DOE DIRECTIVE – SUPPLEMENTAL DIRECTIVE REQUIRED?**Is a new or revised supplemental Directive required? Yes No**If "Yes,"** target date for submission of YSO Directive is _____.**IDENTIFY CONTACT POINT:** Sam Gaines 576-0401
Name Telephone**APPROVED BY COR FOR DIRECTIVES:** Diane McCarten 05/11/2004 576-9330
Signature Date Telephone

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

DOE Directives are available on the DOE Directives Portal at <http://www.directives.doe.gov/>. ORO Directives are available on the ORO Directives Management Group Home Page at http://www.ornl.gov/doe/doe_oro_dmg/oro_dir.htm. Directives will no longer be mailed in printed copy unless you do not have Internet capabilities.

APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH OFFICIAL DIRECTIVE DISTRIBUTION LIST:

Original Signed By
Wayne H. Albaugh, AD-440 05/13/2004
Name Date

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

(Revised 11/06/2003)

U.S. Department of Energy

Oak Ridge Operations

ORO O 330 Chapter I Change 2

DATE: 04/08/2004

SUBJECT: EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

1. PURPOSE. This Chapter correlates to DOE O 331.1B, Change 1, EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM, dated July 12, 2001, by assigning responsibility and accountability and providing administrative guidance to Oak Ridge Operations (ORO) and Office of Scientific and Technical Information (OSTI). Nothing in this issuance changes any requirements contained in any Department of Energy (DOE) Directive.
2. CANCELLATION. This Chapter cancels and replaces ORO O 330, Chapter 1, Change 1, EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM, dated June 12, 2003.
3. APPLICABILITY. The provisions of this Chapter apply to all paid ORO and OSTI employees except those listed below.
 - a. Members of the Senior Executive Service (SES).
 - b. Senior Level (SL) and Scientific and Professional (ST).
 - c. Managers and Supervisors who meet the General Schedule Supervisory Guide definition of a manager or supervisor, including those managers and supervisors who are appointed to the Excepted Service at Pay Band V and below.
 - d. Experts and Consultants.
 - e. Employees who are not expected to work in excess of 120 consecutive days in a 12-month period.
4. RESPONSIBILITIES.
 - a. Chief Operating Officer, ORO; Deputy Director/Manager, and Director for Project and Program Development, OSTI.
 - (1) Serve as Rating Officials respectively for employees reporting directly to the Office of the Manager, ORO, or Office of the Director, OSTI.
 - (2) Serve as Reviewing Officials respectively for those employees who receive a performance rating of "unacceptable" and who are appraised by the members of the Principal Staff who report directly to the Office of the Manager, ORO, or Office of the Director, OSTI.

b. Principal Staff (as defined in ORO O 110, Chapter I), ORO and OSTI.

- (1) Approve the use of matrix management feedback.
- (2) Ensure that functions, assignments, and responsibilities related to nuclear safety are included in performance ratings as appropriate for employees assigned such duties.

c. Supervisors, ORO and OSTI.

- (1) Serve as Rating Officials for employees that report directly to them. Serve as Reviewing Officials when a supervisor one level below them has appraised an employee as unacceptable.

NOTE: Employees serving as Team Leaders in positions officially classified as “Lead” will provide timely written input into the appraisal process; however, they are not authorized to serve as Rating Officials.

- (2) Inform cognizant Assistant Managers/Directors of all subelement and overall ratings that will result in an employee receiving a rating of “Unacceptable” as well as efforts made to assist the employee to avoid such a rating.
- (3) Inform employees of the provisions and requirements of this Chapter.
- (4) In consultation with employees, develop a performance element and related subelements which are consistent with established position descriptions.

d. Director, Human Resources Division.

- (1) Develops a Performance Appraisal System for ORO/OSTI that conforms to regulatory and Departmental requirements.
- (2) Assists supervisors and employees in developing performance elements.
- (3) Provides Performance Appraisal System training to all ORO/OSTI employees upon implementation and as needed thereafter.
- (4) Coordinates with Rating Officials, the ORO Training and Development Group, or the Assistant Director for Administration and Information Services, OSTI, to develop an employee assistance process to improve performance as needed.
- (5) Solicits the participation of employees in the continued development of the Performance Appraisal System and establishes means and criteria for program evaluation.

e. Employees, ORO and OSTI.

- (1) Participate in the development of performance plans.

- (2) In accordance with Attachment 1, paragraph 2(a)(1) of this Chapter, employees may provide Rating Officials with a written self-assessment of performance which addresses performance elements and describes specific accomplishments during the rating period.
 - (3) Provide input into the appropriateness of matrix management feedback.
5. REQUIREMENTS AND PROCEDURES. See Attachment 1 of this Chapter, PERFORMANCE APPRAISAL SYSTEM.
6. REFERENCES.
 - a. Title 5, Code of Federal Regulation (CFR), Part 430, PERFORMANCE MANAGEMENT.
 - b. Title 5, CFR, Part 432, PERFORMANCE BASED REDUCTION IN GRADE AND REMOVAL ACTIONS.
 - c. Title 5, CFR, Part 451, AWARDS.
 - d. Title 5, CFR, Part 531, PAY UNDER THE GENERAL SCHEDULE.
 - e. DOE O 360.1B, FEDERAL EMPLOYEE TRAINING, dated October 11, 2001, which plans and establishes requirements and assigns responsibilities for DOE Federal employee training, education, and development including defining the manner in which performance criteria are to be used to meet Technical Qualification Program requirements for positions involved in the performance of duties in defense nuclear facilities.
 - f. DOE M 360.1-1B, FEDERAL EMPLOYEE TRAINING MANUAL, dated October 11, 2001, which provides detailed requirements to supplement DOE O 360.1B, FEDERAL EMPLOYEE TRAINING. The information in this Manual is intended to assist in improving Federal workforce performance under DOE-managed Federal employee training.
 - g. MANUAL FOR FUNCTIONS, ASSIGNMENTS, AND RESPONSIBILITIES FOR NUCLEAR SAFETY, dated October 1994, which specifically defines areas of responsibility for rating purposes under this Chapter.
 - h. Memorandum from Timothy M. Dirks to Servicing Personnel Offices, Subject: *PERFORMANCE-BASED RIF CREDIT*, dated August 17, 1998.
7. DEFINITIONS.
 - a. Rating of record. The overall rating which results from the total of an employee's subelement ratings. The rating of record describes an employee's official performance rating for the appraisal cycle.
 - b. Interim rating. The interim rating is derived in the same manner as the rating of record and may be necessary in addition to the rating of record for advisory purposes. It is not considered the employee's official rating for the fiscal year.
 - c. Long-term training. Training which exceeds 9 months.

- d. Performance standard. The management-approved expression of the performance threshold(s), requirement(s), or expectation(s) that must be met to be appraised at a particular level of performance. A performance standard may include, but is not limited to quality, quantity, timeliness, and manner of performance. Performance standards for ORO and OSTI employees may not be based solely on quantity of output.
 - e. Summary rating. The compilation of subelement ratings on any performance appraisal.
8. CONTRACTOR REQUIREMENTS DOCUMENT. None.
9. ATTACHMENTS.
- a. Attachment 1 - Performance Appraisal System.
 - b. Attachment 2 – Mandatory Elements, Subelements, and Standards for Team Leaders.
 - c. Attachment 3 - OR F 330.1X, Performance Appraisal Plan and Rating.
 - d. Attachment 4 - OR F 330.1Y, Certifications.

PERFORMANCE APPRAISAL SYSTEM

1. PROGRAM REQUIREMENTS.

a. Identification of Performance Elements.

- (1) Subject to the provisions of Attachment 2, the performance plan for each employee's position will contain one element. Only functions critical to the successful execution of the work of the position will be considered as performance elements; therefore, the element will be designated as "Critical." Each employee's performance plan will contain 4 to 6 subelements, except that one additional subelement above the maximum of 6 may be added to address temporary promotions and detail assignments in accordance with subparagraph 1f(3) of this Attachment. Subelements will not be further subdivided so as to define additional performance standards.
- (2) Certain types of work are common to many positions. As a result, positions that are similar in occupation and grade level will have similar performance elements and standards. Positions in similar occupations but differing pay grades will have similar elements. However, associated standards will be progressive in direct relation to the grade of the position and the associated level of independence with which the employee is expected to operate. In addition, certain duties and responsibilities result in similar expectations regardless of the occupation (e.g., customer service).

b. Criteria for Performance Standards. Performance elements will be rated at two levels: "Meets Expectations" and "Unacceptable," with standards developed at the "Meets Expectations" level only. Performance standards will be unique to the duties and grade level of each position and will define a distinct threshold of performance. "Meets Expectations" represents a level of performance which is consistent with management's expectations for qualified, competent employees.

c. Communication of Elements and Standards.

- (1) This Chapter will be distributed to all current employees and to new employees upon entrance on duty.
- (2) Standards must be reviewed, finalized, and agreed to by the Reviewing Official prior to being given to an employee. The Rating and Reviewing Officials will not sign the performance plan until the employee has had five workdays to review the finalized plan. This plan will be documented on ORO F 330.1X, Performance Appraisal Plan and Rating, Attachment 3 of this Chapter.
- (3) The plan is effective on the date the employee signs it. However, if after a 5 workday review period, the employee refuses to sign, the Rating Official will sign the plan documenting this refusal. Under these circumstances, the plan is effective with the Rating Official's signature.

- (4) New performance plans, ORO F 330.1X, and a signed certification form, ORO F 330.1Y, Certifications, Attachments 3 and 4 of this Chapter, must be submitted for each employee within 30 days from the end of the appraisal period or 30 days after a personnel action occurs that significantly changes an employee's duties and responsibilities. If there are no changes to the plan, it may be recertified by using ORO F 330.1Y without resubmitting the plan.

d. Progress Reviews.

- (1) Formal progress reviews for all employees will be conducted six months after the beginning of the rating cycle, generally during the month of June for ORO employees and March for OSTI employees. Progress reviews will be documented on ORO F 330.1Y.
- (2) Performance feedback is expected to be an ongoing process. Supervisors and their employees will discuss work assignments and expectations as often as either party feels such a discussion is needed.

NOTE: In organizations where employees and their supervisors are not co-located, employees, their supervisors, and supervisors in organizations where the employee's position is assigned responsibility should each make efforts to ensure that ongoing performance feedback is provided, as needed.

e. Schedule for Appraising Performance.

- (1) The appraisal period for all ORO employees is January 1 to December 31, and the appraisal period for OSTI employees is October 1 to September 30. The Manager, ORO, or Deputy Director/Manage, OSTI, may approve an alternate appraisal cycle for a particular year as necessary.
- (2) Employees must have a performance plan in place for at least 90 calendar days prior to the end of the rating cycle in order to receive a performance appraisal. Likewise, the Rating Official must have been in the employee's supervisory chain for at least 90 days prior to the end of the rating period. When a rating cannot be prepared for either of these reasons, the appraisal period will be extended for the amount of time necessary to meet these requirements and the rating prepared at that time.

f. Effect of Position Changes.

(1) Position Changes.

- (a) Employees who change positions within 90 days of the end of the rating period will receive a rating of record based on the performance plan in place for the last position that the employee held for at least 90 days immediately prior to the change. This rating will be prepared by the immediate supervisor (Branch Chief level or above) of the formerly held position.
- (b) Employees who change positions more than 90 days from the end of the rating period will receive a performance plan for the new position and will receive a rating

of record under that performance plan at the end of the rating cycle or after 90 days, whichever is later.

- (2) Transfers From Another Agency or Departmental Element. Employees who transfer from another agency or Departmental element within 90 days of the end of the rating cycle will receive a rating of "Meets Expectations" as the rating of record for that fiscal year provided they have not already received a rating of record for the fiscal year from the former employer. Employees who have received a rating of record for the fiscal year from a former employer may transfer that rating of record to ORO or OSTI provided it is documented in writing and based on a written performance plan.
- (3) Details and Temporary Promotions.
 - (a) Employees serving on formal temporary promotions or details exceeding 30 calendar days will receive an additional performance subelement describing performance expectations of the temporary promotion or detail assignment for inclusion in the employee's existing performance plan. The employee will receive a rating under this new detail subelement only if the temporary promotion or detail lasts at least 90 days. This rating will be provided to the employee within 30 days of the expiration of his/her temporary promotion or detail or at the end of the annual appraisal cycle, whichever occurs first.
 - (b) The immediate supervisor (Branch Chief or above) of the organization receiving the detailed or temporarily promoted employee will serve as the Rating Official for the subelement supporting the detail assignment or temporary promotion. The Rating Official's immediate supervisor will serve as the Reviewing Official for temporary promotion and detail assignment ratings of "Unacceptable."
 - (c) The employee's rating for detail and temporary promotion subelements will be maintained with his/her performance plan and combined with other subelements rated under the performance plan in determining the employee's annual rating of record.
- (4) Supervisory Changes.
 - (a) When a supervisor who has served as a Rating Official leaves within 90 days of the end of the rating cycle, he/she will prepare a rating of record for employees who have served in the same position and have had a performance plan for at least 90 days.
 - (b) An acting supervisor, based on designation through a formal detail or temporary promotion, may appraise the performance of subordinates as a Rating Official if he/she has supervised the employee(s) for a minimum of 90 days immediately prior to the rating.
 - (c) An acting supervisor may sign performance appraisal plans as the Rating or Reviewing Official and may sign "unacceptable" performance appraisals as the Reviewing Official without regard to length of time served in the acting capacity.

2. THE RATING PROCESS.

a. Review and Proposal of Ratings.

- (1) Employees who wish to provide their Rating Officials with a written self-assessment of performance as described in subparagraph 4e(2) of this Chapter should do so at least 2 weeks prior to the end of the rating period. Ratings of employees who do not wish to submit self-assessments will not be lowered solely on the basis of non-submittal.
- (2) Rating and Reviewing Officials will reach agreement on proposed element and overall ratings and complete ORO F 330.1X as appropriate.

b. Communication of Ratings.

- (1) Rating Officials (and Reviewing Officials when a rating of “unacceptable” is given) will not formalize an employee’s rating by signing it until the employee has had 5 workdays to review the rating. If after 5 workdays the employee refuses to sign, the Rating Official, and Reviewing Official if applicable, will sign the rating and document this refusal.
- (2) An employee may file written comments regarding his/her performance rating. These comments will be given full and fair consideration and maintained with the performance rating in the employee’s official performance file. Employees may also choose to avoid signing performance ratings; however, a rating left unsigned by an employee remains valid.

c. Determination of Ratings.

- (1) Each element or subelement will be evaluated on ORO F 330.1X, as illustrated in Figure 1-1 of this Chapter. Subelement ratings will be combined to result in individual element ratings.
- (2) Subelement and overall ratings are to be identified as either “Unacceptable” or “Meets Expectations.” A rating of “Unacceptable” on a minimum of 33 percent of subelements will result in an overall rating of “Unacceptable,” regardless of the remainder of ratings. The illustration below should be used as a guide to determine the overall rating derived from subelement ratings of “Unacceptable.”

Number of Subelements Rated	Number of Subelements Rated as Unacceptable Resulting in an Overall Rating of Unacceptable
3	1
4	2
5	2
6	2
7	3

- (3) Rating Officials may delay assigning a rating for the element or any subelement when an employee's performance demonstrates inconsistent deficiencies which preclude a rating of "Meets Expectations" or "Unacceptable." In such instances, a performance improvement plan must be initiated in accordance with guidance in paragraph 4 of this Attachment.
- (4) Employees will be rated only on those subelements under which they were provided an opportunity to demonstrate performance. In such instances where an employee has not received an opportunity to demonstrate performance on a particular subelement, he/she will receive a notation of "Not Rated" (NR) for that subelement.

ORO F 330.1X

Figure 1-1 Sample
PERFORMANCE APPRAISAL PLAN AND RATING

Name of Employee: Jane Doe

Position Title, Series, and Grade: Lead Program Analyst, GS-343-14

Appraisal Period: January 1, 1999 - December 31, 1999

Fiscal Year: 1999 Social Security Number: _____

Element (defined here) Leadership	Subelement/Standard	Subelement Rating	Comments (Required for Ratings of Unacceptable)
Subelement: (defined here) <u>Communication/Trust:</u> ___ Subject to Matrix Management Assessment	Demonstrates the use of quality management principles and programs as tools for improving the organization. Implements appropriate process improvements in a timely manner. Establishes methods to identify customers, their needs and expectations. Continuously fosters their participation, feedback, and satisfaction. Ensures that decisions account for and reflect customers' needs. Initiates changes based on customer input/needs.	ME	
Subelement: <u>Human Resources:</u> ___ Subject to Matrix Management Assessment	Promotes human resource programs that enhance organizational and employee well-being. Fosters a work environment of inclusion, fairness, and equity for all employees.	ME	
Do Not Type – Blocks in this form should be extended as needed based on the length of the performance plan.			

Summary Rating ME

3. MATRIX MANAGEMENT FEEDBACK AND RATINGS.

- a. The duties and physical location of employees in certain positions lend themselves to performance elements which may be best assessed through feedback obtained from Rating Officials who are not in the employee's immediate line of supervision. In organizations where duties and physical location of the employee are appropriate, this type of approach, known as matrix management feedback, may be adopted on the recommendation of the supervisor (who would otherwise serve as the Rating Official) with the approval of the appropriate member of Principal Staff. Supervisors will seek input from the affected employee(s) in determining the appropriateness of matrix management feedback.
- b. When using matrix management feedback, the specific subelements to which it applies will be specified on ORO F 330.1X at the time the plan is signed with no more than 50 percent of the employee's subelements being rated in this manner. The employee's supervisor of record will coordinate and discuss this arrangement with the immediate supervisor (Branch Chief or above) of the organization to which the employee's position is assigned matrix responsibilities. The supervisor agreeing to provide matrix management feedback will document his/her agreement to rate the identified subelements and concurrence with the content of the subelements by completing Part D of ORO F 330.1Y.
- c. Requests for matrix management feedback will include a return envelope pre-addressed to the employee's Rating Official with the following instructions: PERFORMANCE FEEDBACK ENCLOSED. TO BE OPENED BY ADDRESSEE ONLY. Each source will return requests for feedback within 10 workdays from the date of request.
- d. Due to the reporting relationship employees have with matrix management feedback sources, it is not feasible to protect the anonymity of individuals providing specific feedback. Consequently, on those subelements where matrix management feedback is obtained, the employee's immediate supervisor of record will not rate that subelement(s). Rating Officials will consolidate matrix management feedback with their own ratings for the remainder of the employee's performance subelements in determining the employee's overall rating.

4. OPPORTUNITY TO IMPROVE.

- a. Performance Improvement Plans (PIP). A rating of record of "Unacceptable" will be issued only if an employee has been given a performance improvement plan during the appraisal period.
 - (1) A PIP will be used by supervisors to establish an opportunity for employees to improve substandard performance and is not intended to be punitive. The PIP will:
 - (a) Officially notify an employee of the need to improve performance;
 - (b) Identify specific performance deficiencies;
 - (c) Inform an employee of how performance may be improved;

- (d) Identify what the employer will do to assist the employee in improving his/her performance;
 - (e) Communicate potential consequences of substandard performance; and
 - (f) Establish a time frame for observing and reevaluating performance.
- (2) When to Establish a PIP. A PIP must be established if, at any time, an employee's performance is determined to be deficient to the extent that it consistently fails to meet expectations. Isolated instances of poor performance do not necessarily require the issuance of a PIP. However, supervisors will, upon observance that poor performance is becoming a pattern, discuss performance deficiencies and the action needed to improve with employees. If such an informal approach does not result in improved performance, a PIP may be necessary. It is inappropriate to wait until the end of the rating period to establish a PIP if significant performance deficiencies are identified in the midst of the rating cycle.
- b. Content. A PIP must be highly individualized and reflect specific performance deficiencies and improvement needed. PIPs must include the following:
- (1) Employee's name, title, series, grade, and organizational location.
 - (2) Length of the opportunity period. The PIP will state the time allowed for improvement. Opportunity periods will be at least 90 days duration. The established length of the period will be sufficient to allow the employee a reasonable time to demonstrate improved performance, while at the same time continuing to perform normal duties and responsibilities.
 - (3) Identification of deficiencies and actions required to improve. The employee will be informed in writing of performance deficiencies in relation to a specific performance subelement and the specific performance needed to achieve a rating of "Meets Expectations." Deficiencies must be limited to performance during the current appraisal period. Any unclear performance standards will be clarified, if necessary. No additional duties or expectations will be added under the PIP.
 - (4) Feedback, ratings, and management assistance.
 - (a) The PIP must include at least one date at approximately the midpoint of the opportunity period on which a formal progress review will be provided to the employee. Employees may request more frequent progress reviews.
 - (b) Continued feedback is an important component of an opportunity period and supervisors will provide an appropriate level of assistance to help the employee improve performance. This assistance may include counseling, closer supervision, training, more frequent informal feedback, assistance in organizing or prioritizing workload, or examples of acceptable work products. As with regular performance

appraisals, the employee will be given the opportunity to submit written comments regarding his/her performance for consideration by his/her Rating and Reviewing Officials.

- (5) Possible consequences of substandard performance. The PIP must advise the employee that continued performance which fails to meet expectations will result in the denial of the next within-grade increase. Employees must further be advised that such performance may result in a performance-based action which may include reassignment, reduction in grade, or removal.
- c. Completion of the Opportunity Period. Upon completion of the opportunity period, the employee must be afforded an opportunity to discuss performance and will receive a written evaluation of his/her performance during the period.
 - (1) Performance improves. The PIP will be removed from the employee's official performance file after one year of improved performance or upon transfer outside the Department, whichever comes first. The employee will be notified by memorandum of the results of his/her PIP, and he/she will receive a formal performance appraisal for the rating period if the formal appraisal was previously postponed in favor of the PIP.
 - (2) Performance does not improve. A memorandum will be prepared to notify the employee that performance continues to be unacceptable. In addition, the employee will receive a formal performance appraisal for the rating period if the formal appraisal was previously postponed in favor of the PIP. Any resulting performance-based action will be taken in accordance with DOE O 331.1B, Change 1. Such actions for bargaining unit employees will be taken in accordance with the negotiated labor agreement.
 - d. Certifications. Required signatures and forms used for the PIP, progress review, and final rating during an opportunity period will follow the same requirements which apply during the regular performance appraisal cycle.
5. USE OF APPRAISALS AS BASIS FOR OTHER ACTIONS.
- a. Reduction in Force.
 - (1) Entitlement to additional service credit and assignment rights based on that service credit for reduction in force (RIF) purposes will be determined in accordance with Timothy M. Dirks' memorandum dated August 17, 1998, to Servicing Personnel Offices, Subject: PERFORMANCE-BASED RIF CREDIT.
 - (2) For RIF purposes, service credits granted to employees under the provisions of this Chapter amount to 20 years for overall ratings of "Meets Expectations." Employees are not entitled to any additional service credit under the provisions of 5 CFR 351.504(d) and this Chapter and will receive no credit for ratings of "Unacceptable."

- (3) Delay of Ratings. If a RIF becomes necessary, scheduled ratings of record will be postponed if all of the following conditions are met:
- (a) The Assistant Secretary for Management, Budget and Evaluation, concurs in a statement by the Manager, ORO, or Deputy Director/Manager, OSTI, that the RIF cannot be postponed for specific reasons;
 - (b) The scheduled rating date is within 90 days of the effective date of the RIF and it would not be possible to process all ratings before the date-specific RIF notices are to be issued;
 - (c) There are persuasive reasons why ratings cannot be processed prior to the scheduled rating date in order for all ratings to be processed before the date-specific RIF notices are issued; and
 - (d) Issuance of general notices, reducing the time required for specific notices, (and, therefore, extending the time available to process ratings) will not resolve the problem.

b. Within-Grade Increases (WIGI).

- (1) Only the latest rating of record may be used as a basis for a WIGI. In order to be eligible to receive a WIGI, the employee's most recent rating of record must have been "Meets Expectations."
- (2) Delay in determination.
 - (a) An acceptable level of competence determination must be delayed under the following circumstances:
 - 1 When the employee has not served in the current position under a performance appraisal plan for at least 90 days and the employee has not been given a performance rating in any position within 90 days prior to the end of the rating period; or
 - 2 When an employee is involuntarily reduced in grade because of unacceptable performance and is placed in a position in which he or she is eligible for a WIGI or will become eligible within the next 90 days.
 - (b) When an acceptable level of competence determination is delayed, the rating period must be extended until the employee has served in the current position under a performance appraisal plan for a minimum of 90 days. At the end of the extended period, a rating of record will be completed which will form the basis for the acceptable level of competence determination.
 - (c) If, following the delay, the employee's performance is rated as "Meets Expectations," the WIGI will be granted retroactively to the beginning of the pay

period following completion of the required waiting period for advancement to the higher step.

- (3) Waiver of requirement for determination.
 - (a) An acceptable level of competence determination will be waived and the WIGI 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 of the following reasons:
 - 1 Due to absences which are considered to be creditable service in the computation of a waiting period;
 - 2 Due to paid leave;
 - 3 Due to service credit received under the back pay provisions of 5 CFR Part 550;
 - 4 Due to a detail(s) to another agency or employer for which no rating has been prepared; or
 - 5 Due to insufficient time to demonstrate an acceptable level of competence resulting from authorized activities of official interest to the agency including labor-management partnership activities under EO 12871 and serving as a representative of a labor organization under Title 5 USC; or
 - 6 Due to long-term training.
 - (b) In such situations, it is assumed that the employee would have met expectations had he/she performed the duties of his/her position for at least 90 days.
- (4) Employees paid under the Federal Wage System schedule who have a performance rating of "Meets Expectations" are entitled to automatic advancement to the next higher step within their current grade in accordance with 5 USC 5343(e)(2) and 5 CFR 532.417.

c. Quality Step Increases (QSI).

- (1) QSIs will not be required or considered an automatic increase under any circumstances and will be effected in accordance with 5 CFR 531, Subpart E and ORO O 330, Chapter II, Change 2, INCENTIVE AWARDS.
- (2) QSIs will be limited to employees who meet both of the following:
 - (a) Performance in the position for which the QSI is recommended is rated at "Meets Expectations," and
 - (b) Employee demonstrates continued high quality performance, generally over more than one rating cycle, beyond what would normally be expected.

- (3) QSIs will not be granted to an employee who has received a QSI within the preceding 52 consecutive calendar weeks.
 - d. Promotions. In order to be eligible for a career-ladder promotion, the employee must have a rating of "Meets Expectations" on his/her most recent rating of record during the last 52-week period.
6. EMPLOYEE RECOGNITION.
- a. Provisions.
 - (1) Administrative actions associated with rewards and recognition of employees will be conducted in accordance with the provisions of related Departmental guidance and ORO O 320, Chapter XI, PAY AND LEAVE ADMINISTRATION AND HOURS OF DUTY, dated June 12, 2003; and ORO O 330, Chapter II, Change 2, INCENTIVE AWARDS, dated April 18, 2003.
7. GRIEVANCES AND APPEALS.
- a. Disagreements.
 - (1) Employees and supervisors are expected to participate in the development of performance plans to reduce the probability of disagreements regarding the content of performance plans and/or subsequent ratings. Employees have the right to question or comment on plans and ratings and to discuss issues with their Rating and Reviewing Officials without reprisal.
 - (2) Grievances regarding performance ratings will be directed to the employee's Rating Official.
 - b. 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 3771.1, Change 3, GRIEVANCE POLICY AND PROCEDURES, dated August 21, 1992, and ORO O 340, Chapter II, Change 2, same title, dated September 6, 2002, and any subsequent revisions. Subsequent actions based on poor performance may be grieved or appealed in accordance with the provisions of this Chapter and DOE O 331.1B, Change 1, as applicable.
 - c. Bargaining Unit Employees. Employees whose positions are included in the bargaining unit represented by an exclusive representative may grieve or appeal their performance rating in accordance with the provisions contained in the applicable labor agreement.

**MANDATORY PERFORMANCE ELEMENTS AND STANDARDS
FOR TEAM LEADERS**

1. GS-14 Team Leader Positions. The following performance elements, with associated subelements and standards, must be used in all GS-14 Team Leader positions.
 - a. Performance Element - Leadership.
 - (1) Subelement - Communication/Trust:
 - (a) Quality Advocacy - Demonstrates the use of quality management principles and programs as tools for improving the organization. Implements appropriate process improvements in a timely manner. Ensures that subordinate staff is trained in quality principles and techniques.
 - (b) Customer Orientation - Establishes methods to identify customers, their needs and expectations. Continuously fosters their participation, feedback, and satisfaction. Ensures that decisions account for and reflect customers' needs. Initiates changes based on customer input/needs.
 - (c) Communications - Is an active listener and fosters open, two-way information exchange. Provides written and oral information in a clear, concise, and timely manner. Establishes processes and systems which promote communications within the organization and with the organization's customers.
 - (d) External Relationships/Networking - Effectively articulates and promotes the organization's purposes and programs to outside groups. Meets regularly with clients, institutionalizes relationships with them as needed, and engenders their cooperation and support.
 - (e) Negotiating/Influencing - Language and behavior promote "win/win" solutions when differences or opportunities between groups or individuals arise. Makes timely, thoughtful, and practical proposals to resolve impasses or reach consensus, taking stakeholders' interests into account.
 - (f) Interpersonal Relationships - Conveys respect for clients and employees. Takes positive steps to build trust, morale, and esprit de corps within the organization. Creates solid working relationships across organizational lines.
 - (2) Subelement - Human Resources:
 - (a) Human Resource Management - Promotes human resource programs that enhance organizational and employee well-being.
 - (b) Managing Diversity - Establishes and communicates an expectation of inclusion, and fair and equitable treatment for all employees in the organization. Develops a plan

and continuously monitors progress toward achieving work force diversity (e.g., takes advantage of opportunities to use minorities, women, small businesses, etc. for contracting/recruiting/employment purposes). Creates a work environment of inclusion, fairness, and equity.

- (c) Team Building/Teamwork - Values and fosters teamwork, cooperation, and trust in day-to-day program operations and in pursuing solutions to crosscutting organizational issues. Establishes, actively participates in, and/or makes constructive contributions to teams established to improve programs and operations.
 - (d) Developing Talent/Managing Performance - Identifies timely and well-targeted opportunities to assist staff in developing/enhancing their skills. Serves as an effective coach/mentor. Provides continuous, honest, timely performance feedback. Takes timely action to establish performance expectations, celebrate performance successes, and deal with performance deficiencies.
- (3) Subelement - Management/Business Practices:
- (a) Strategic Planning - Provides value-added input to strategic planning processes. Plans reflect key organizational initiatives and goals. Communicates organizational goals and performance expectations in a timely, clear, and consistent manner.
 - (b) Vision/Change Agent - Works collegially with others to develop a shared vision of the organization aligned with the ORO/OSTI mission, vision, and values. Champions change by proposing and regularly encouraging ideas from stakeholders/customers on new ways of doing/improving business.
 - (c) Financial Management - Identifies methods and takes action to streamline business practices. Eliminates overlapping and unnecessary levels of control and review. Acts decisively and in a timely manner to avoid or correct instances of potential fraud, waste, or abuse.
- b. Performance Element - Program/Mission Accomplishment. Subelements and standards are to be established based on the mission and function of each employee's organization.
2. GS-13 Team Leader Positions. The following performance elements, with associated subelements and standards, must be used in all GS-13 Team Leader positions.
- a. Performance Element - Leadership.
 - (1) Subelement - Communication/Trust:
 - (a) Quality Advocacy - Demonstrates the use of quality management principles and programs as tools for improving the organization. Implements appropriate process improvements in a timely manner.

- (b) Customer Orientation - Establishes methods to identify customers, their needs and expectations. Continuously fosters their participation, feedback, and satisfaction. Ensures that decisions account for and reflect customers' needs. Initiates changes based on customer input/needs.
 - (c) Communications - Is an active listener and fosters open, two-way information exchange. Provides written and oral information in a clear, concise, and timely manner. Establishes processes and systems which promote communications within the organization and with the organization's customers.
 - (d) External Relationships/Networking - Effectively articulates and promotes the organization's purposes and programs to outside groups. Meets regularly with clients, institutionalizes relationships with them as needed, and engenders their cooperation and support.
 - (e) Negotiating/Influencing - Language and behavior promote "win/win" solutions when differences or opportunities between groups or individuals arise. Makes timely, thoughtful, and practical proposals to resolve impasses or reach consensus, taking stakeholders' interests into account.
 - (f) Interpersonal Relationships - Conveys respect for clients and employees. Takes positive steps to build trust, morale, and esprit de corps within the organization. Creates solid working relationships across organizational lines.
- (2) Subelement - Human Resources:
- (a) Human Resource Management - Promotes human resource programs that enhance organizational and employee well-being.
 - (b) Managing Diversity - Fosters a work environment of inclusion, fairness, and equity for all employees.
 - (c) Team Building/Teamwork - Values and fosters teamwork, cooperation, and trust in day-to-day program operations and in pursuing solutions to crosscutting organizational issues. Actively participates in and/or makes constructive contributions to teams established to improve programs and operations.
 - (d) Developing Talent - Serves as an effective coach/mentor. Spot checks work of junior team members on a timely basis. Provides honest, timely, continuous feedback.
- (3) Subelement - Management/Business Practices:
- (a) Strategic Planning - Provides value-added input to strategic planning processes. Plans reflect key organizational initiatives and goals. Communicates organizational goals and expectations to the team in a timely, clear, and consistent manner.

- (b) Vision/Change Agent - Works collegially with others to develop a shared vision of the organization aligned with the ORO/OSTI mission, vision, and values. Champions change by proposing and regularly encouraging ideas from stakeholders/customers/team members on new ways of doing/improving business.
 - (c) Financial Management - Continuously attempts to identify process improvements and takes action to streamline workflow. Makes effective recommendations to eliminate overlapping and unnecessary levels of control and review. Acts decisively and in a timely manner to avoid or correct instances of potential fraud, waste, or abuse.
- b. Performance Element - Program/Mission Accomplishment. Subelements and standards are to be established based on the mission and function of each employee's organization.

OR F 330.1X

PERFORMANCE APPRAISAL PLAN AND RATING

Name of Employee: _____ Position Title, Series, and Grade: _____

Appraisal Period: _____ Fiscal Year: _____ Social Security Number: _____

Element: (DEFINE ELEMENT HERE)	Standards	Subelement Rating	Comments (Required for Ratings of Unacceptable)
Subelement: ___ Subject to Matrix Management Assessment			
Subelement: ___ Subject to Matrix Management Assessment			
Subelement: ___ Subject to Matrix Management Assessment			
Subelement: ___ Subject to Matrix Management Assessment			
Do Not Type - Blocks in this form should be extended as needed based on the length of the performance plan.			

Summary Rating: _____

F 330.1Y, CERTIFICATIONS

Part A – Certification of Discussion and Issuance of Performance Appraisal Plan and Recertification				
I have received a copy of my performance appraisal plan for this rating cycle and have been given an opportunity to discuss it with the Rating Official.				
Typed or Printed Name of Employee	Signature of Employee	Date	Initials for Recertification	Date of Recertification
Typed or Printed Name of Rating Official	Signature of Rating Official	Date	Initials for Recertification	Date of Recertification
Typed or Printed Name of Reviewing Official	Signature of Reviewing Official	Date	Initials for Recertification	Date of Recertification

Part B – Certification of Progress Review		
Performance and progress to date have been discussed with the undersigned employee.		
Typed or Printed Name of Employee	Signature of Employee	Date
Typed or Printed Name of Rating Official	Signature of Rating Official	Date

Part C – Certification of Receipt of Performance Rating		
I have received my performance rating for this rating cycle and have been given an opportunity to discuss it with the Rating Official.		
Typed or Printed Name of Employee	Signature of Employee	Date
Typed or Printed Name of Rating Official	Signature of Rating Official	Date
Typed or Printed Name of Reviewing Official (required if rating is "unacceptable")	Signature of Reviewing Official	Date

Part D – Certification of Ratings Generated Through Matrix Management Reviews			
I agree to provide the performance rating(s) for the following elements _____			
Typed or Printed Name of Rating Official	Organization	Signature of Rating Official	Date
I have provided the performance rating(s) for the following elements _____			
Typed or Printed Name of Rating Official	Organization	Signature of Rating Official	Date

Part E - Certification of Delayed Rating		
The employee's performance under Element(s) _____ Demonstrates inconsistent deficiencies which preclude a rating of "Meets Expectations" or "Unacceptable." Therefore, the employee's rating under this plan will be delayed, and a performance improvement plan (PIP) will be established. The employee's performance will be assessed upon completion of the opportunity period established in the PIP.		
Typed or Printed Name of Employee	Signature of Employee	Date
Typed or Printed Name of Rating Official	Signature of Rating Official	Date