

# ORO CONTROL FORM - FINAL DIRECTIVE

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

1. **NUMBER AND TITLE OF DIRECTIVE:** **ORO O 330, Chapter IV, MANAGERIAL AND SUPERVISORY 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 Standards/Requirements Identification Documents (S/RIDs) 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.*

4. **SIGNIFICANT PROVISIONS:** Are there any significant changes or impacts?  No  Yes  
If yes, describe: This Chapter is a new Chapter in the 330 Series.

5. **CONTACT POINT:** Melanie Kent Personnel and 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>
NA		ORO Control Form	04/01/2004
		ORO O 330, Chapter IV	04/01/2004

*ORO Directives are available on the ORO Directives Management Group Home Page at [http://www.ornl.gov/doe/doe\\_oro\\_dmg/oro\\_dir.htm](http://www.ornl.gov/doe/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 04/01/2004  
Signature: DMG Team Leader, AD-440 Date

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

Rev. 11/06/2003

## 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 IV, MANAGERIAL AND SUPERVISORY PERFORMANCE  
MANAGEMENT SYSTEM, dated 04/01/2004**

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):

The attached Directive is forwarded for review and action. Complete Part B and forward this form to ORO DMG, AD-440, by **04/19/2004**.

### 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  No

List summary of Directive changes and, **if "Yes"** above, describe the significant changes or impacts:

Incorporates new Chapter in the 330 Series.

IMPLEMENTATION: Does the Directive contain special implementation requirements and/or dates?  Yes  No

**If "Yes,"** describe:

Order dated 04/01/2004.

### 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  
*Original Signed By*  
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/roe/roe\\_oro\\_dmg/oro\\_dir.htm](http://www.ornl.gov/roe/roe_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:

Wayne H. Albaugh, AD-440 05/13/2004  
*Original Signed By*  
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 IV
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**DATE: 04/01/2004**

**SUBJECT: MANAGERIAL AND SUPERVISORY PERFORMANCE MANAGEMENT SYSTEM**

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1. PURPOSE. This Chapter correlates to DOE O 331.1B, Change 1, EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM, dated March 14, 2001. This Chapter establishes the requirements and responsibilities for the administration and operation of a performance management system for managers and supervisors. This includes criteria for performance appraisals, performance-related recognition, and other actions related to performance management. Nothing in this issuance changes any requirements contained in any Department of Energy (DOE) Directive.
2. CANCELLATION. None.
3. APPLICABILITY. The provisions of this Chapter apply to all Federal Oak Ridge Operations (ORO) and Office of Scientific and Technical Information (OSTI) managers and supervisors who:
  - a. Meet the General Schedule Supervisory Guide (GSSG) definition of manager and supervisor and who are at grade or salary levels below Senior Executive Service; or
  - b. Are appointed to the excepted service (EK or EJ) at Pay Band V and below and who meet the GSSG definition of manager and supervisor.
4. RESPONSIBILITIES.
  - a. Chief Operating Officer, and the Deputy Manager for Laboratory Operations, ORO, and 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 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. Assistant Managers, ORO.
    - (1) Ensure that functions, assignments, and responsibilities related to nuclear safety are included in performance ratings as appropriate for employees assigned such duties.
    - (2) Serve as Rating Officials for those employees reporting directly to them.
    - (3) Serve as Reviewing Official for those employees one level below them.

- (4) In consultation with employees, develop one critical element and the corresponding sub-elements that addresses individual performance on key programmatic accomplishments.
  - c. Supervisors and Managers, ORO
    - (1) Ensure that functions, assignments, and responsibilities related to nuclear safety are included in performance ratings as appropriate for subordinate supervisors assigned such duties.
    - (2) Serve as Rating Officials for those employees reporting directly to them.
    - (3) In consultation with subordinate supervisors, develop one critical element and the corresponding sub-elements that address individual performance on key programmatic accomplishments.
  - d. Director, Human Resources Division.
    - (1) In conjunction with regulatory and Departmental requirements, develops and coordinates the ORO/OSTI Managerial and Supervisory Performance Management System.
    - (2) Coordinates with Rating Officials, the ORO Training and Development Group, and the appropriate Assistant Manager, ORO, to develop an employee assistance process to improve performance, if needed.
    - (3) Assists Rating Officials and employees in developing key programmatic performance elements.
  - e. Diversity Programs and Employee Concerns Manager administers the Federal discrimination complaints process as described in Title 29, Code of Federal Regulations (CFR), Part 1614, EQUAL EMPLOYMENT OPPORTUNITY IN THE FEDERAL GOVERNMENT.
  - f. Managerial and Supervisory Employees provide Rating Officials with a written self-assessment, if requested, which addresses performance elements and describes specific accomplishments during the rating period.
5. REQUIREMENTS AND PROCEDURES. Program requirements and processes for the Managerial/Supervisory Appraisal process are described in the attachments of this Chapter.
6. REFERENCES.
  - a. Title 5, CFR, Part 531, PAY UNDER THE GENERAL SCHEDULE, Subpart E, "*Quality Step Increases*".
  - b. Title 5, CFR 550, PAY ADMINISTRATION (GENERAL).
  - c. Title 29, CFR, Part 1607, UNIFORM GUIDELINES ON EMPLOYEE SELECTION PROCEDURES provides principles and guidance for assuring that employee selection procedures are job related and valid and do not discriminate on the basis of race, color, religion, national origin, or sex.

- d. Title 29, CFR, Part 1614, EQUAL EMPLOYMENT OPPORTUNITY IN THE FEDERAL GOVERNMENT, Section 105, provides policy, procedures and guidance on processing employment discrimination complaints.
  - e. Public Law 88-352, Civil Rights Act of 1964, as amended by Public Law 92-262, the Equal Employment Opportunity Act of 1972, prohibits discrimination in Federal employment based on race, color, religion, sex, or national origin.
  - f. Public Law 90-202, Age Discrimination in Employment Act of 1967, as amended by Public Laws 93-259 and 95-256, prohibits discrimination in Federal employment based on age.
  - g. Section 504 of the Rehabilitation Act of 1973, as amended by Public Law 93-112, prohibits discrimination in Federal employment based on physical or mental handicap.
  - h. DOE Policy Document Modification, PERFORMANCE MANAGEMENT SYSTEM FOR MANAGERS AND SUPERVISORS, Chapter I, dated September 11, 2002.
  - i. DOE 3750.1, Change 6, WORK FORCE DISCIPLINE, dated August 21, 1992, and any subsequent revisions.
  - j. DOE 3771.1, Change 3, GRIEVANCE POLICY AND PROCEDURES, dated August 21 1992, and any subsequent revisions.
  - k. ORO O 330, Chapter II, Change 2, INCENTIVE AWARDS, dated May 19, 2003, and any subsequent revisions.
  - l. ORO O 340, Chapter II, Change 2, GRIEVANCE POLICY AND PROCEDURES, dated September 6, 2002, and any subsequent revisions.
  - m. Memorandum from Timothy M. Dirks' to Servicing Personnel, Subject: PERFORMANCE-BASED RIF CREDIT, dated August 17, 1998.
7. DEFINITIONS. None.
8. CONTRACTOR REQUIREMENTS DOCUMENTS. None.
9. ATTACHMENTS.
- a. Attachment 1 – Program Requirements.
  - b. Attachment 2 – Managerial/Supervisory Performance Appraisal Plan Form and Critical Element II-Managerial/Supervisory Attributes.
  - c. Attachment 3 – Managerial/Supervisory Performance Appraisal Progress Review Form.
  - d. Attachment 4 – Managerial/Supervisory Performance Appraisal Rating Form and Instructions.
  - e. Attachment 5 – Detail/Temporary Promotion Sub-element Form.

## MANAGERIAL/SUPERVISORY PERFORMANCE APPRAISAL SYSTEM

### 1. PERFORMANCE APPRAISAL PLANS.

a. Performance Elements and Standards. All managerial and supervisory performance appraisal plans will:

- (1) Contain a maximum of two elements, both of which are critical. One of these elements and the corresponding sub-elements will address individual performance on key programmatic accomplishments. The other element and its corresponding sub-elements will address clusters of managerial attributes that each employee should demonstrate. This element and its sub-elements are defined in Attachment 2.
- (2) Specify the following four performance levels to be used in assessing performance on the two critical elements: Significantly Exceeds Expectations, Meets Expectations, Needs Improvement, and Fails to Meet Expectations. These four levels will also be used to describe the annual summary rating.
- (3) Have performance standards established at the Meets Expectations level for both critical elements.
- (4) Be reviewed by one level higher than the Rating Official.
- (5) Be recorded on the form identified as Attachment 2 of this Chapter.

b. Criteria for Critical Element I – Program Accomplishments. The titles for the critical element may differ according to the program accomplishment. This element will:

- (1) Be directly linked to the supervisor's organizational strategic plan and, as appropriate, the performance plan of the employee's Rating and Reviewing Officials.
- (2) Consist of between two and five critical sub-elements, with each sub-element describing specific and measurable activity and/or work product.
- (3) Have equally weighted sub-elements.
- (4) Have the performance standard for all sub-elements written at the Meets Expectations level.

c. Criteria for Critical Element II – Managerial/Supervisory Attributes.

- (1) This element contains five clusters of personal behavioral attributes that contribute to the successful performance as a manager or supervisor and are described in Attachment 2.
- (2) All clusters are to be used to the maximum extent and are to be weighted equally.

d. Communication of Elements and Standards.

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

2. PERFORMANCE APPRAISAL SYSTEM SCHEDULE.

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

3. PERFORMANCE APPRAISAL RATING PROCESS.

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

- e. The Rating Official will then meet with the employee to discuss the performance evaluation rating.
- f. The employee will have 5 workdays to sign the rating. The employee may file written comments regarding his/her performance rating. These comments will be given full and fair consideration and maintained with the performance rating in the employee's official performance file.
- g. An employee may choose not to sign the performance rating. If the employee refuses to sign the performance rating, the Rating Official will sign the rating and document the employee's refusal. The rating will remain valid.
- h. The assignment of a rating may be delayed when an employee's performance demonstrates inconsistent deficiencies which would preclude a rating of at least Meets Expectations. In such instances, a performance improvement plan (PIP) must be initiated in accordance with the guidance contained in this Chapter.

4. PROGRESS REVIEWS.

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

5. DEVIATIONS FROM THE APPRAISAL PROCESS.

a. Position Changes.

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

b. Transfers.

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

c. Supervisory Changes.

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

d. Details or Temporary Promotions.

- (1) If an employee is detailed or temporarily promoted to another position for 90 calendar days or longer, s/he will have the additional sub-element form supporting the detail or temporary promotion, Attachment 5, added to the current performance appraisal plan. Both the employee and the Rating Official for the gaining organization will sign the supplemental sub-element.
- (2) Attachment 5 will be forwarded to the Human Resources Division by the gaining Rating Official and will be included in the employee's performance appraisal file.
- (3) The Rating Official of the gaining organization will serve as the Rating Official for the supplemental sub-element supporting the detail or temporary promotion. The employee's Rating Official of record will still serve as the employee's Rating Official and will incorporate the supplemental sub-element into the employee's summary rating of record.

6. OPPORTUNITY TO IMPROVE.

- a. Constructive Feedback. If at anytime the Rating Official feels the employee's performance is indicating consistent deficiencies in meeting expectations described in performance sub-elements, the Rating Official will discuss these deficiencies with the employee. The Rating Official and employee together will develop actions to correct the deficiencies.
- b. Performance Improvement Plan (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.
  - (1) Purpose. A PIP will be used by the Rating Official to establish an opportunity for the employee to improve substandard performance and is not intended to be punitive. The PIP will:
    - (a) Officially notify an employee of the need to improve performance;
    - (b) Identify specific performance deficiencies;
    - (c) Inform an employee of how performance may be improved;
    - (d) Identify what the employer will do to assist the employee in improving his/her performance;
    - (e) Communicate potential consequences of substandard performance; and
    - (f) Establish a time frame for observing and re-evaluating performance.
  - (2) Content. A PIP must be highly individualized and reflect specific performance deficiencies and improvement needed. The PIP must include the following:
    - (a) Employee's name, title, series, grade, and organizational location.
    - (b) Length of the opportunity period. The PIP will state the time allowed for improvement. Opportunity periods will be at least 90 calendar days duration. The established length of the period will be sufficient to allow the employee a reasonable time to demonstrate improved performance, while at the same time continuing to perform normal duties and responsibilities.
    - (c) Identification of deficiencies and actions required to improve. The employee will be informed in writing of performance deficiencies in relation to a specific performance sub-element and the specific performance needed to achieve a rating of "Meets Expectations." Deficiencies must be limited to performance during the current appraisal period. Any unclear performance standards will be clarified, if necessary. No additional duties or expectations will be added under the PIP.

- (3) Feedback, Ratings, and Management Assistance.
  - (a) The PIP must include at least one date at approximately the midpoint of the opportunity period on which a formal progress review will be provided to the employee. Employees may request more frequent progress reviews.
  - (b) Continued feedback is an important component of an opportunity period and the Rating Official will provide an appropriate level of assistance to help the employee improve performance. This assistance may include counseling, closer supervision, training, more frequent informal feedback, assistance in organizing or prioritizing workload, or examples of acceptable work products. As with regular performance appraisals, the employee will be given the opportunity to submit written comments regarding his/her performance for consideration by his/her Rating and Reviewing Officials.
- (4) Possible consequences of substandard performance. The PIP must advise the employee that continued performance which fails to meet expectations will result in the denial of the next within-grade increase. Employees must further be advised that such performance may result in a performance-based action which may include reassignment, reduction in grade, or removal.
- (5) Completion of the Opportunity Period. Upon completion of the opportunity period, the employee must be afforded an opportunity to discuss performance and will receive a written evaluation of his/her performance during the period.
  - (a) Performance improves. The PIP will be removed from the employee's official performance file after 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 s/he will receive a formal performance appraisal for the rating period if the formal appraisal was previously postponed in favor of the PIP.
  - (b) Performance does not improve. A memorandum will be prepared to notify the employee that performance continues to be unacceptable. In addition, the employee will receive a formal performance appraisal for the rating period if the formal appraisal was previously postponed in favor of the PIP. Any resulting performance-based action will be taken in accordance with DOE O 331.1B, Change 1, EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM, and/or DOE 3750.1 Change 6, WORK FORCE DISCIPLINE.
- (6) Certifications. Required signatures and forms used for the PIP, progress review, and final rating during a PIP will follow the same requirements which apply during the regular performance appraisal cycle.

7. USE OF APPRAISALS AS BASIS FOR OTHER ACTIONS.

a. Reduction in Force (RIF).

- (1) Entitlement to additional service credit and assignment rights based on that service credit for RIF purposes will be determined in accordance with Timothy M. Dirks' memorandum dated August 17, 1998, to Servicing Personnel Offices, subject: PERFORMANCE-BASED RIF CREDIT.
- (2) 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 calendar days of the effective date of the RIF and it would not be possible to process all ratings before the date-specific RIF notices are to be issued;
  - (c) There are persuasive reasons why ratings cannot be processed prior to the scheduled rating date in order for all ratings to be processed before the date-specific RIF notices are issued; and
  - (d) Issuance of general notices, reducing the time required for specific notices, (and, therefore, extending the time available to process ratings) will not resolve the problem.

b. Within-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 be at the "Meets Expectations."
- (2) Delay in determination.
  - (a) An acceptable level of competence determination must be delayed under the following circumstances:
    - 1 When the employee has not served in the current position under a performance appraisal plan for at least 90 calendar days and the employee has not been given a performance rating in any position within 90 calendar days prior to the end of the rating period; or
    - 2 When an employee is involuntarily reduced in grade because of unacceptable performance and is placed in a position in which s/he is eligible for a WIGI or will become eligible within the next 90 calendar days.

- (b) When an acceptable level of competence determination is delayed, the rating period must be extended until the employee has served in the current position under a performance appraisal plan for a minimum of 90 calendar days. At the end of the extended period, a rating of record will be completed which will form the basis for the acceptable level of competence determination.
  - (c) If, following the delay, the employee's performance is rated as "Meets Expectations," the 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 calendar days during the final 52 weeks of the waiting period for any of the following reasons:
    - 1 Due to absences which are considered to be creditable service in the computation of a waiting period;
    - 2 Due to paid leave;
    - 3 Due to service credit received under the back pay provisions of 5 Code of Federal Regulations (CFR) Part 550;
    - 4 Due to a detail(s) to another agency or employer for which no rating has been prepared; or
    - 5 Due to long-term training.
  - (b) In such situations, it is assumed that the employee would have met expectations had s/he performed the duties of his/her position for at least 90 calendar days.
- 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 "Significantly Exceeds 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.
- 8. 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 I, Change 2, INCENTIVE AWARDS, dated May 19, 2003.
    - (2) Managers and supervisors earning summary performance ratings of “Needs Improvement” or “Fails to Meet Expectations” are not eligible for performance awards.
- 9. DISAGREEMENTS, GRIEVANCES, AND APPEALS.
  - a. Managers 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.
  - b. Employees 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, and/or DOE 3750.1, Change 6, as applicable.
  - c. Employees may also use the Federal Discrimination complains process as described in DOE O 311.1B, EQUAL OPPORTUNITY AND DIVERSITY PROGRAM, dated March 5, 2003.
  - d. Grievances regarding the performance rating will be directed to the employee’s Rating Official.

# U.S. Department of Energy

## Managerial/Supervisory Performance Appraisal Form

<b>Name:</b>		<b>Title:</b>	
<b>Organization:</b>		<b>Duty Station</b>	
<b>Performance Rating Period:</b>	<b>From:</b>	<b>To:</b>	

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

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

**Privacy Act Statement**

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

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**Critical Element I • Program Accomplishments**

Instructions: Sub-elements, which must be linked to organizational goals and plans, may be expressed as one clause or sentence, but must be sufficiently descriptive to allow them to be distinguished from one another. Performance/organizational goals must be achievable and include information on measurable outcomes such as program improvements, cost reductions, improved timeliness, and improved customer/advisory services. Each sub-element under the Program Accomplishments critical element is of equal importance and accordingly will be weighted equally in the overall assessment of this critical element.

<b>Sub-Elements</b>	<b>“Meets Expectations” Performance Standard Level</b>
1.	
2.	
3.	
4.	
5.	

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## **Critical Element II • Managerial/Supervisory Attributes**

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

### **Cluster 1 – Subject Matter Expertise**

#### **Meets Expectations Standards:**

##### **Demonstrates Functional Competence**

Demonstrates expertise in his/her functional area, leveraging unique core of knowledge and skills to achieve results.

Keeps up-to-date in areas of expertise.

Seeks input from manager, peers, and others regarding new developments, techniques, technologies and similar advancements in area of expertise.

Responds to requests for assistance in area of expertise in a timely manner by administering and actively passing on expertise to others.

Seeks assignments that make good use of expertise, engaging in an appropriate mix of challenging and comfortable assignments providing any assistance to clients/customers.

##### **Exhibits Analytical Ability and Solves Problems**

Gathers and effectively analyzes multiple data sources to determine root cause of problems.

Communicates and shares effective problem-solving processes. Generates alternative solutions and seeks input from others.

Typically anticipates the consequences or impact of a suggested course of action.

Collaborates with peers and others in problem-solving efforts and supports positions/recommendations that result

Consistently shares thoughts and supports recommendations with sound rationale.

Makes sound decisions in the face of ambiguity and uncertainty.

Appropriately escalates problems or resource issues for resolution.

##### **Innovates**

Consistently generates creative ideas for systems, services, or work processes.

Explores and supports new ideas and initiatives. Identifies areas for improvement within own area of expertise/job function.

Looks outside area of expertise to identify new ideas and initiatives.

Creates an open environment for people to voice new ideas.

Takes prudent risks to create new value for customers.

**Critical Element II • Managerial/Supervisory Attributes cont.**

**Cluster 2 – Customer Service and Communication**

**Meets Expectations Standards:**

**Serves Customers and Builds Partnerships**

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

**Communicates Effectively**

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

**Critical Element II • Managerial/Supervisory Attributes cont.**

**Cluster 3 – Resources Management Skills**

**Meets Expectations Standards:**

**Demonstrates Personal Leadership**

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

**Creates Effective Operating Plans**

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

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**Critical Element II • Managerial/Supervisory Attributes cont.**

**Cluster 4– Team Building**

**Meets Expectations Standards:**

**Builds Capability**

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

**Coaches, Motivates, and Develops**

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

**Critical Element II • Managerial/Supervisory Attributes cont.**

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**Cluster 5– Diversity**

**Meets Expectations Standards:**

**Builds Diversity**

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

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

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

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## Deriving Performance Ratings for Each Critical Element

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### **Program Accomplishments with 2 or 3 Sub-Elements**

- Significantly Exceeds (SE) - All sub-elements must be rated SE
- Meets Expectations (ME) – At least 1 sub-element rated ME with the others rated the same or higher
- Needs Improvement (NI) – One or more sub- elements rated NI with the others rated the same or higher
- Fails to Meet Expectations (FME) – At least one sub-element rated FME

### **Program Accomplishments with 4 or 5 Sub-Elements**

- Significantly Exceeds (SE) - All sub-elements must be rated SE
- Meets Expectations (ME) – At least one sub-element rated ME with no more than one of the remaining rated as low as Needs Improvement
- Needs Improvement (NI) – Two or more sub- elements rated NI with the others rated the same or higher
- Fails to Meet Expectations (FME) – At least one sub-element rated FME

### **Managerial/Supervisory Attributes**

- Significantly Exceeds (SE) - All attribute clusters must be rated SE
- Meets Expectations (ME) – At least one attribute cluster rated ME with no more than one of the remaining rated as low as Needs Improvement
- Needs Improvement (NI) – Two or more attribute clusters rated NI with the others rated the same or higher
- Fails to Meet Expectations (FME) – At least one attribute cluster rated FME

**Annual Summary Rating**      **Name:**

**Rating Period:**

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

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

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## Deriving Overall Summary Performance Ratings

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



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

### Critical Element I – Details and Temporary Promotions Sub-element

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

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

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

Detail or Temporary Promotion Period: From \_\_\_\_\_ To \_\_\_\_\_

\_\_\_\_\_  
Gaining Rating Official’s Name and Signature Date

\_\_\_\_\_  
Employee Name and Signature Date