



*Office of Executive Resources
Office of the Chief Human Capital Officer
U.S. Department of Energy*

FY 2014 Senior Level (SL) and Scientific or Professional (ST) Performance Appraisal System Opening Guidance

Table of Contents

Contents

I.	SL/ST PERFORMANCE APPRAISAL TEMPLATE and TIMELINE.....	3
II.	PERFORMANCE PLAN - CRITICAL ELEMENTS.....	3
III.	SL/ST SUMMARY RATING LEVEL DEFINITIONS.....	5
IV.	DERIVING THE SUMMARY RATING.....	6
V.	TRAINING AND EVALUATION	7
VI.	PERFORMANCE PLAN TIPS - EMPLOYEE.....	7
VII.	PERFORMANCE PLAN TIPS - RATER.....	7
VIII.	SMART FRAMEWORK.....	8
IX.	DOE POINTS OF CONTACTS	8

Fiscal Year 2014
Performance Appraisal System Opening Guidance

This document provides a summary of the key performance management requirements. These requirements should be understood and applied for all Senior Level (SL) and Scientific or Professional (ST) employees in the context of the existing policies.

Supervisors must establish performance plans for senior professionals in consultation with the senior professional and communicate their written expectations no later than 30 days after the beginning of the rating period. The performance plan must encompass the entire rating period. Senior professional performance plans must include measurable outcomes as documented in the DOE's strategic plan. The gaining organization must also set performance goals and requirements for any detail or temporary assignment of 120 days or longer and appraise the performance in writing.

I. SL/ST PERFORMANCE APPRAISAL TEMPLATE and TIMELINE

DATES (2013-2014)	ACTIONS
Dec 2013	<p>If needed, please contact HC-40 for the latest SL/ST Performance Appraisal template</p> <ul style="list-style-type: none">• SL/ST employee prepares their 3-5 key programmatic accomplishments, DOE Strategic Plan goal linkage, and desired weights and submits their recommendations to the Rating Official• Rating Official reviews submission, discusses with the employee and signs and dates the Performance Appraisal• SL/ST employee signs and dates the Performance Appraisal
Feb 2014	All Performance Appraisals are complete
Apr 2014	Progress Review completed
Sep 2014	End of Performance Appraisal Cycle

II. PERFORMANCE PLAN - CRITICAL ELEMENTS

All senior professionals will be assessed and rated on two Critical Elements: (1) Key Programmatic Accomplishments (3-5 objectives) and (2) Key Leadership Attributes. Critical Element I focuses on the 3-5 "critical few" program and mission-related activities linked to the agency's strategic goals in the SL/ST employee's area of responsibility. The total weight for Critical Element I must be 60%. Each key objective will be tracked and evaluated in a uniform manner with two primary focuses: (1) how efficiently and effectively the SL/ST employee executed or obtained the results, and (2) the impact of the results achieved (e.g., program improvements, outcomes, policy impacts).

Critical Element I must also identify clear, transparent alignment to relevant agency or organizational goals, including page numbers, from DOE's Strategic Plan, Congressional Budget Justification, or other

organizational planning document for each performance objective. Objectives must be measurable and established at the Meets Expectations level.

Critical Element II focuses on “how” the SL/ST employee carries out his/her responsibilities relative to highly desirable attributes that are expected of all DOE SL/ST employees. The total weight must be 40% for Critical Element II. Critical Element II is based on the 5 Executive Core Qualifications (ECQs). The five ECQ’s are: Leading Change, Leading People, Results Driven, Business Acumen and Building Coalitions. Supervisory SL/ST employees will be assessed against all 5 ECQs and non-supervisory SL/ST employees will be assessed against the 4 ECQs as denoted below.

1. Leading Change (5% - 10%)

- The ability to develop and implement a vision integrating key national and program goals, priorities, values, and other factors. Ability to balance change and continuity; to strive to improve customer service and program performance; and to create a work environment that encourages creativity.

2. Leading People and/or Programs (*Supervisory SL/ST only*) (5% - 10 %)

- Provides leadership and support to improve the hiring process to recruit and retain a diverse and highly skilled workforce by planning for current and future workforce requirements, identifying skills required for the job, proactively participating in the recruitment and interviewing processes, and providing assistance to newly hired Federal employees in accordance with DOE requirements and established timeframes in order to meet the President’s recruitment and hiring reform objectives.
- Works to improve the diversity of the organization and ensures that all employee rights are respected, and takes responsibility for the effective management of employee performance. Promotes equal employment opportunity and affirmative action.
- Ensures that subordinate employees know and understand the organizational strategic goals and how their positions contribute to meeting organizational goals. Ensures that performance requirements or performance objectives of subordinate employees are aligned with organizational goals and employees are held accountable for results against clear, measurable performance standards. Provides timely and constructive performance feedback.
- Delivers products or services that support the Agency’s strategic plan, programs, policies, organization annual performance plans or budget priorities. Products or services are of a good quality and provide good models for addressing work challenges and require high levels of creativity, skill, and knowledge of subject area. Products are produced within the expected timeframes and reliably comply with applicable statutes, regulations, and established policies and procedures, adjusts to changing priorities. Products or serves demonstrate thorough research and analysis.
- Exhibits effective skills in independently planning, organizing, and prioritizing multiple assignments. Develops and offers suggestions for organizational and work process improvements that increase results, efficiency, or effectiveness. Effectively communicates verbally and in writing. Written materials are well received and easily understood by a range of individuals and groups, promoting the Agency’s programs and mission.

- Promotes teamwork and collaboration across organizations. Provide training and mentorship to employees on the relationship of program priorities to Departmental Strategic Objectives in accordance with the DOE Strategic Plan. Provide high-potential employees with opportunities to work between headquarters and the field, as well as between line and support functions.
- Demonstrates two-way communication with employees and actively solicits employee feedback to use to inform decisions. Employee feedback is considered during the overall assessment of each executive's performance.

3. Results Driven (5% - 10 %)

- Accountability and continuous improvement and the ability to make timely and effective decisions and produce results through strategic planning and the implementation and evaluation of programs and policies.

4. Business Acumen (5% - 10 %)

- The ability to acquire and administer human, financial, material, and information resources in a manner that instills public trust and accomplishes the program's mission, and the ability to use new technology to enhance decision making.
- Demonstrates two-way communication with the customers and actively solicits customer feedback to use to inform decisions. Customer feedback is considered during the overall assessment of each executive's performance.

5. Building Coalitions (5% - 10%)

- The ability to explain, advocate, and express facts and ideas in a convincing manner and to negotiate with individuals and groups internally and externally. The ability to develop and expansive professional network with other organizations and to identify the internal and external politics that impact the work of the organization.

III. SL/ST SUMMARY RATING LEVEL DEFINITIONS

The performance standard definitions for each rating level are specified below:

- **Level 5 (Outstanding):** This level is reserved for the truly exemplary employee who demonstrates the highest degree of achievement in his/her area (s) of work.
 - This employee demonstrates an extraordinary degree of initiative and self-reliance in identifying and resolving problems or requirements of the work situation and in developing, recommending or executing innovative solutions successfully to accomplish tasks ahead of target.
 - The employee is extremely adaptable in adjusting to, and resolving, new, unusual, difficult or complex situations or problems in order to successfully accomplish program objectives. The employee's performance and contributions are of such a high level that they produce a significant and positive impact on the performance of others and the operations or reputation of the work unit.
- **Level 4 (Exceeds):** This level signifies that the results achieved are clearly beyond what could be reasonably expected.

- **Level 3 (Meets Expectations):** This level signifies the employee’s performance results achieved are those that can be reasonably expected of any employee on the job in order to fully and adequately achieve assigned responsibilities.
- **Level 2 (Minimally Satisfactory):** This level signifies that there is a significant performance-related problem(s) although the performance has not reached “Unacceptable” in any Critical Element. The employee demonstrates limited ability in:
 - Producing work of acceptable volume and/or quality within established timeframes; or
 - Exhibits limited sense of personal responsibility and accountability in work assignments; or
 - Experiences difficulty in addressing new or unusual work situations under normal pressure; or
 - Requires frequent guidance and assistance from supervisor or others.
- **Level 1 (Unacceptable):** This level signifies the performance of the employee consistently fails to meet the established performance standards in one or more critical elements of the employee’s position.
 - When performance is rated at this level, a Performance Improvement Plan (PIP) must be implemented to help the employee improve his/her performance to “Meet Expectations.”

IV. DERIVING THE SUMMARY RATING

The overall final performance score and rating is determined based on the derivation formula located in Table 1. Within the two Critical Elements, each objective is individually scored based on the Rating Level (Level 1 – Level 5) definitions provided in Section III. The ratings are multiplied by the weight of the objective. Both Critical Elements are summed to determine the overall performance score (max of 500 points) which equates to a corresponding final rating level (Level 1 – Level 5).

Table 1: Overall Performance Rating Derivation Formula (Supervisory Example)

*EXAMPLE	Rating Level		Score	Final Rating Level Derivation Formula		
Critical Elements	Initial Element Rating	Weight	Initial Point Score			
Critical Element 1 (60%): Key Programmatic Accomplishments				Outstanding	Level 5	475 – 500
- Objective 1	5	15	5 X 15 = 75			
- Objective 2	4	15	4 X 15 = 60	Exceeds	Level 4	387 – 474
- Objective 3	3	15	3 X 15 = 45			
- Objective 4	3	15	3 X 15 = 45	Meets Expectations	Level 3	300 – 386
Critical Element 2 (40%): Key Leadership Attributes						
1. Leading Change	4	8	4 x 8 =32	Minimally Satisfactory	Level 2	200 - 299
2. Leading People	5	8	5 x 8 = 40			
3. Business Acumen	3	8	3 x 8 = 24	Unacceptable	Level 1	0 - 199
4. Building Coalitions	4	8	4 x 8 = 32			
5. Results Driven	4	8	4 x 8 = 32			
				Any CE rated Level 1 = Level 1		
	Total	100	385			

V. TRAINING AND EVALUATION

- All senior professionals must review the annual training SL/ST performance management training. This will constitute training for FY 2014. The training slides are being updated and will be available for review by mid-February. A separate communication will be distributed once available.
- The Department of Energy evaluates the effectiveness of the performance management system and implements improvements as needed.

VI. PERFORMANCE PLAN TIPS - EMPLOYEE

- Key Programmatic Accomplishment (3-5 objectives) should not exceed one page
 - Use bullet or narrative format with a minimum of 10-point font
 - Limit the use of jargon/acronyms and technical terms so goals are better understood
 - Eliminate typos
- Ensure Objectives are:
 - Written at an executive level with a strategic focus, yet measurable and quantifiable
 - Focused on outcomes/deliverables rather than meeting milestones
 - Not written like a Position Description
 - Completed with Metrics for Meeting/Exceeding
- Reference a specific DOE Strategic Goal
 - May use an Organizational Goal that stems from the Strategic Goal
- Provide a timeframe for completion
- Use the SMART Framework

VII. PERFORMANCE PLAN TIPS - RATER

- Ensure Performance Requirements are of quality and provide a challenge to the employee
 - Communicate changes/edits to be made by employee in the key programmatic objective section of the plan
 - Identify performance targets for inclusion that were not identified by the employee
 - Ensure performance targets are realistic and within employee's control
 - Ensure employee is made fully aware of performance expectations
 - Conduct Initial Feedback Session

VIII. SMART FRAMEWORK

Performance Standards should be **S**pecific, **M**easurable, **A**ligned, **R**ealistic, and **T**imeframe – bound.

Specific - Clear, concise statement of what is being measured with observable outcomes.

Measurable - Result should be observable or verifiable with a method, procedure or standard to assess and record the result of the requirement.

Aligned - A clear, direct connection should exist between Standards and the organizational priorities and/or component strategic goals.

Realistic - The outcome must be achievable with the resources and personnel available, and it should be within the employee's control and responsibility.

Timeframe - bound - Timeframe needed to complete the Standard should be within the period of performance.

Tips

- Use the phrase “as measured by...” to ensure measures have been included
- Use multiple measures, when possible
- Measure what is truly critical to the performance of the job – not just what is easiest to measure

IX. DOE POINTS OF CONTACTS

- Contact the DOE Performance Management Team for assistance:
 - Ms. Ina Shaw; Ina.Shaw@hq.doe.gov; (202) 586-8464
 - Ms. Selina Swales; Selina.Swales@hq.doe.gov; (202) 586-7975
 - Ms. Erin Moore; Erin.S.Moore@hq.doe.gov; (202) 586-9558