

memorandum

DATE: January 17, 2002

REPLY TO
ATTN OF: AD-442:Blaylock

SUBJECT: **PERFORMANCE APPRAISALS AND INDIVIDUAL DEVELOPMENT PLANS**

TO: All ORO and YAO Employees

This memorandum serves as the Oak Ridge Operations Office (ORO) and Y-12 Area Office (YAO) call for performance appraisal ratings and individual development plans (IDPs). The 2001 performance appraisal cycle for ORO and YAO employees ended December 31, 2001. Part I below is a guide for completing the rating process for all employees, and Part II provides guidance on completion of IDPs for all employees.

Supervisors and employees are reminded that a new ORO Order covering performance appraisals was effected on February 28, 2001. ORO O 330, Chapter 1, Employee Performance Management System, includes several changes to previous requirements for performance plans and ratings and can be found at http://www.ornl.gov/doe_oro_dmg/dir3/current/330ch1.pdf. Changes that significantly impact the preparation and documentation of performance plans and ratings are italicized below.

Part I - Performance Appraisal Ratings

1. Rating Process. All employees who have been on a performance appraisal plan for at least 90 days should receive a rating for the period beginning with the date the plan was signed by the employee or January 1, 2001, (whichever is later) and ending December 31, 2001. If an employee has not been on a plan in his/her current position for the full 90 days by December 31, 2001, it will be necessary to delay the rating until he/she has completed 90 days on the plan. Rating officials who are contemplating ratings of "Unacceptable" for any employee should contact their Human Resources Specialist for information regarding the establishment of performance improvement plans.
2. Initial Performance Discussions. Employees are entitled to discuss their performance with their supervisors before the formal appraisal discussion. Employees who wish to have such a discussion should schedule a meeting with their supervisor at a mutually convenient time as soon as possible.
3. Discussions with Employees. Ratings should be given **unsigned** to employees and discussed with them by **February 1, 2002**. Bargaining unit employees have 5 workdays to review their ratings prior to signature. *Only ratings of "Unacceptable" require the signature of a reviewing official.*

4. Completion of documentation. Copies of the completed Performance Appraisal Plan and Rating and signed Certification Forms should be given the employee and the original should be forwarded to the Personnel and Management Analysis Branch (PMAB) by **February 8, 2002**. Performance appraisal ratings are documented in Part C of the Certification Form.

If an employee's performance plan will remain the same for the next rating period, Part A of the attached Certifications Form should also be completed with the name of the employee, rating official, and reviewing official; **initialed**, dated, and forwarded to PMAB along with the performance rating. If a new plan is created or elements are added, removed, or changed, Part A of the Certifications Form should be **signed** and dated by the employee and his/her Rating and Reviewing Officials, attached to the new or revised plan, and forwarded to PMAB along with the performance rating.

It should be noted that the February 28, 2001, Order established new requirements for performance plans. Each performance plan should have only one overall element that generally describes the work of the position, i.e., human resources management, program management, budget analysis, etc. The performance plan should consist of 4 to 6 subelements that have defined standards against which performance is measured. Additional subelements may be added in accordance with the Order to enable ratings for temporary promotions and/or details. Performance elements and standards have been mandated for all managerial, supervisory, and team leader positions, and are described in Attachment 2 of the Order. Those who do not have plans established in accordance with these requirements should be rated on their current plans and should have new plans that comply with these requirements put in place for the 2002 rating period.

Part II - New Individual Development Plan Process

1. Basis for IDPs. IDPs are required for all employees by DOE O 360.1A and should be individually tailored. IDPs describe short- and long-range goals and activities to meet employees' job requirements/career development and are a win/win strategy because they benefit both the employee and the organization. Employees win because implementing an IDP helps them enhance their knowledge, skills, and experiences. Improved competencies help them achieve career goals both inside of and external to the organization. The organization wins by applying improved employee capabilities.
2. New IDP Process. We will pilot a new DOE-wide on-line IDP process this year that is accessed through Employee Self Service (ESS). To access the IDP in ESS, click on "Individual Dev Plan," under the Training Information section in ESS. There are detailed on-line instructions to complete each step.

Please remember:

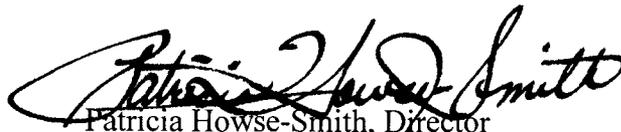
- the IDP is for FY 2003. Therefore, the term "This Year" means FY 2003;

- one of your short-range goals should read “Complete recurring training.” Under this goal, list all recurring training, e.g. HAZWOPER, Ethics Training, RAD Worker, etc., as separate activities. This is necessary in order to document/extract training needs and costs;
- to discuss your IDP/training needs with your supervisor; and
- to provide positive and negative feedback about the new process to Belynda Thompson in the Training and Development Group (TDG) by calling (865) 576-3925 or by email at ThompsonBJ@oro.doe.gov.

Supervisors: To access your employees’ IDPs, access ESS, click on “Individual Dev Plan,” and click on “Review your employees’ IDPs” (under “Supervisor Options”). You should also read the “Instructions” section under “Supervisor Options.” You will be given the opportunity to approve or disapprove an employee’s IDP and to prioritize their training needs. If you have any questions, please contact Belynda Thompson at 576-3925.

- Training Needs. Training needs identified on IDPs are used to (1) determine global courses that ORO should conduct on site and (2) serve as the basis for budget justifications. Therefore, it is imperative that employees and supervisors accurately identify short-and long-term training needs. A separate Training Needs Assessment call will not be made.
- Discussions with Employees. Input for IDPs should be discussed with employees during the same time frame as appraisal discussion and be concluded by **February 1, 2002**.
- IDP Tools and Guidance. Guidance documents, IDP Forms, and sample IDPs are available on the Training and Development Group Home Page (www.ora.gov/tdd/tddhome.htm).
- Completion of Documentation. The new IDP process creates an electronic IDP; therefore, a hard copy is not required. Employees should submit an IDP to their supervisor in time to allow the supervisor to approve all IDPs by **February 28, 2002**.

Any questions on the performance appraisal system should be directed to your Human Resources Specialist. Questions on Individual Development Plans should be directed to Belynda Thompson at (865) 576-3925.


Patricia Howse-Smith, Director
Human Resources Division

Attachments:
Rating Form
Certifications Form

PERFORMANCE APPRAISAL PLAN AND RATING

Name of Employee: _____ Position, Title, Series, and Grade: _____
 Appraisal Period: _____ Fiscal Year: _____ Social Security Number: _____

Element	Subelement/Standard	Element Rating	Comments (Required for Ratings of Unacceptable or 360 Degree Ratings of 1 through 4)
1.			
2.			
3.			
4.			
5.			
Do Not Type - Blocks in this form should be extended as needed based on the length of the performance plan.			

Summary Rating _____

F 331.1Y, 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 of 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 of Printed Name of Rating Official	Signature of Rating Official	Date
Typed or Printed Name of Reviewing Official	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 Expectation" 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 of Printed Name of Employee	Signature of Employee	Date
Typed of Printed Name of Rating Official	Signature of Rating Official	Date