

memorandum

DATE: January 2, 2003

REPLY TO

ATTN OF: AD-442:Blaylock

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

TO: All ORO and YSO Employees

This memorandum serves as the Oak Ridge Operations Office (ORO) and Y-12 Site Office (YSO) call for performance appraisal ratings and individual development plans (IDPs) for employees occupying GS, GM, EK, and EJ positions. The 2002 performance appraisal cycle for these employees ended December 31, 2002. Part I below is a guide for completing the rating process, and Part II provides guidance on completion of IDPs.

Supervisors and employees are reminded that a revised 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. Employees in GS, GM, EK, and EJ positions 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, 2002, (whichever is later) and ending December 31, 2002. If an employee has not been on a plan in his/her current position for the full 90 days by December 31, 2002, 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 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, 2003**. 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 to the employee and the original should be forwarded to the Personnel and Management Analysis Branch (PMAB) by **February 7, 2003**. Performance appraisal ratings are documented in Part C of the Certification Form.

If an employee's performance plan will remain the same for the new 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 employee's 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 four to six 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 team leader positions and are described in Attachment 2 of the Order.

Supervisors and Managers should already have new plans established in accordance with guidance previously provided for the Performance Appraisal System for Supervisors and Managers. (This new system cascades expectations from the Senior Executives' Plans.) Supervisors and Managers should be rated under their old plans in accordance with this call. They will be rated at the end of fiscal year 2003 under their new "cascade" plans in accordance with the Performance Appraisal System for Supervisors and Managers.

Part II – Individual Development Plan Process

1. Basis for IDPs. IDPs are required for all employees by DOE O 360.1B and should be individually tailored. IDPs describe short-and long-range goals and activities to meet job requirements/career development and are a win/win strategy because they benefit both the employee and their 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. IDP Process.

Employees: Create your IDP online by accessing Employee Self Service (ESS) at <https://mis.doe.gov/ess/>. To access the IDP in ESS, click on "Individual Dev Plan," under the Training Information section in ESS. There are detailed online instructions to complete each step.

Please remember:

- **the IDP is for FY 2004. Therefore, the term "This Year" means FY 2004;**
- 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 process to Amanda Walters in the Training and Development Group (TDG) by calling (865) 576-3925 or by email at WaltersA@oro.doe.gov.

Supervisors: You will receive an email indicating one or more of your employees' IDPs are awaiting your approval. 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 "Instruction" section under "Supervisor Options." You will be given an opportunity to approve or disapprove an employee's IDP and to prioritize their training needs. Input for IDPs should be discussed with employees during the same time frame as the appraisal discussion and be concluded by **February 3, 2003.**

3. Training Needs Assessment. 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.
4. IDP Tools and Guidance. In addition to the online instructions in ESS, resources are available in the "Employee Development" section of the TDG website at www.oro.gov/tdd/tddhome.htm. These resources include Tips for Supervisors on IDP Training as well as Employee Training and Development Opportunities.
5. Completion of Documentation. The 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, 2003.**

Any questions on the performance appraisal system should be directed to your Human Resources Specialist. Questions on Individual Development Plans should be directed to Amanda Walters 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: <i>(Define Element Here)</i>	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	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