

memorandum

DATE: January 8, 2004

REPLY TO

ATTN OF: AD-442:Aytes

SUBJECT: **CALL FOR 2004 PERFORMANCE APPRAISAL PLANS**

TO: All ORO Employees

Our December 4, 2003, memorandum, subject: **PERFORMANCE APPRAISALS** indicated that additional guidance would be forthcoming regarding the incorporation of Department of Energy (DOE) mission objectives into performance plans for Oak Ridge Operations Office (ORO) employees occupying GS, EK, and EJ non-supervisory/non-managerial positions. The following information is provided to assist you in this regard:

The Deputy Secretary has established a requirement that beginning with the upcoming performance appraisal cycle, all employees' performance plans must reflect their individual accountability, as appropriate, for the accomplishment of the Department's missions and their specific roles in initiatives under the President's Management Agenda (PMA). Our success in this effort will be measured by the U.S. Office of Management and Budget (OMB), which has issued the requirement that at least 60 percent of the Department's employees (supervisory and non-supervisory), have performance appraisal plans that are specifically linked to the DOE primary mission and goals and/or initiatives under the PMA.

In February, ORO will be required to submit a report documenting that the OMB requirement has been met. Therefore, it is imperative that **all** employees' performance appraisal plans be reviewed and revised, if necessary, to assure that this requirement is met. The incorporation of mission objectives into managerial and supervisory performance appraisal plans has already been addressed in the Departmental Managerial and Supervisory Performance Appraisal Program.

Documented sources of mission objectives include:

- Individual Organizations' Mission Statements
- DOE Strategic Plan that may be accessed at:
http://energy.gov/engine/content.do?BT_CODE=AD_SP
- DOE Annual Budget Submission (including DOE Annual Performance Plan) that may be found at: http://energy.gov/engine/content.do?BT_CODE=AD_B
- PMA which includes major initiatives such as (1) Strategic Management of Human Capital; (2) Competitive Sourcing; (3) Improved Financial Performance; (4) Expanded Electronic Government; and (5) Budget and Performance Integration. Detailed information regarding the PMA may be found at: http://www.cfoc.gov/documents/pdf_omb_mgmtagenda.pdf.

Using one or more of the documented sources above, rating officials should (1) identify the mission objective(s) and its component(s) for which the organization is held accountable; (2) identify those employees responsible for accomplishing the mission component(s); and (3) for each employee assure that Performance Standard(s) for the corresponding sub-element(s) exist to measure the employee's contributions toward meeting the identified mission objective. If revisions are necessary, they should be accomplished in sufficient time to assure that all **2004 Performance Appraisal Plans for non-supervisory employees are completed by January 23, 2004**. As a reminder, the rating cycle is January 1, 2004 through December 31, 2004.

In preparation for meeting our OMB reporting requirement in February, your assistance is requested in completing the attached Mission Objectives Performance Management Tracking Report. Completed forms should be submitted with the Certifications Forms described below.

If an employee's performance plan will remain the same, Part A of the attached Certifications Form should be completed with the name of the employee, rating official, and reviewing official; initialed, dated, and forwarded to Performance Management Analysis Branch (PMAB). If a new plan is created or sub-elements or corresponding performance standards 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 by **February 6, 2004**.

Questions regarding the performance appraisal system should be directed to your Human Resources Specialist.



Patricia Howse-Smith, Director
Human Resources Division

Attachment:
Certifications Form
Tracking Report

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 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
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I have provided the performance rating(s) for the following elements _____

Typed or Printed Name of Rating Official	Organization	Signature of Rating Official	Date
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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

**MISSION OBJECTIVES PERFORMANCE MANAGEMENT
TRACKING REPORT**

Departmental Element: _____

<u>Section 1.</u>			
Employee Name/ Position Title	Organization	Primary Mission-Related Performance Objective	
Total Employees with Mission-Related Objectives: _____			
Percentage of Total Population with Mission-Related Objectives: _____			
<u>Section 2.</u>			
Mission-Related Performance Objective	Source Document with Applicable Citation	Number of Employees * Covered by the Citation:	
		Employees	Managers/ Supervisors
Approved by: _____			
Title: _____		Date _____	
Point of Contact: _____			
Title: _____		Phone _____	

* Some individuals may have responsibilities for more than one mission objective. If that is the case, individuals should be counted under only one objective, that objective on which the individual spends the most time.