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United States Government

Department of Energy
Oak Ridge Office

memorandum

DATE: September 22, 2009

REPLY TO
ATTN OF: AD-442: Shrader

SUBJECT: **CLOSE OUT GUIDANCE FOR FY 09 PERFORMANCE APPRAISAL CYCLE**

TO: All ORO and OSTI Employees

As we are nearing the end of the performance cycle, the following information is provided for completing FY 2009 performance appraisals under both the "Managerial/Supervisory Performance Management System" and the "Non-Supervisory Performance Management System."

The current appraisal cycle for both systems ends on **September 30, 2009**. Performance ratings must be signed by the employee's first level supervisor as the Rating Official and concurred upon by the second level supervisor as the Reviewing Official prior to communication to the employee. If any critical element cannot be rated (e.g., no opportunity for the employee to achieve the desired results), it should be noted as such on the appraisal form, with the initials of the Rating Official and the employee, and the date of the determination. (See below for additional requirements under the Non-Supervisory Performance Management System.)

Copies of the Performance Appraisal Rating Form for both Supervisory and Non-Supervisory employees, as well as a spreadsheet used to calculate the summary performance score, can be found on the Human Resources web site at http://www.oro.doe.gov/pmab/Forms/Forms.htm.

Part I – FY 2009 Performance Appraisal Rating Guidelines for Employees Covered by the "Managerial/Supervisory Performance Management System."

Managers and Supervisors should prepare an assessment of results achieved against the Program Accomplishments and Managerial/Supervisory Attributes as outlined in their FY 09 performance plan. This written assessment should be submitted to the Rating Official for consideration in the development of the final performance rating. Please remember that a summary rating of Significantly Exceeds (SE) for a critical element is achieved when a **majority** of the employee's performance sub-elements are rated at the SE level with none of the remaining sub-elements rated less than Meets Expectations (ME).

In accordance with DOE's performance management policy, performance ratings and communication of those ratings must be completed within 15 working days following the end of the performance period, which is **October 22, 2009**. This excludes employees of rating officials who left, either through retirement, reassignment or transfer within 90 calendar days before the end of the performance period; or employees who have not been on performance plans for at least 90 calendar days at the end of the performance period. The Federal Human Resources Branch can assist you in dealing with these exceptions if and when they occur.

The original signed final FY 09 performance ratings for managers and supervisors must be submitted to your servicing Human Resources Specialist by **October 26, 2009** for their review and processing.

Part II – FY 2009 Performance Appraisal Rating Guidelines for Employees Covered by the "Non-Supervisory Performance Management System."

As indicated above, when any critical element cannot be rated because the employee had no opportunity to achieve the desired results during the rating period, it should be annotated as such on the appraisal form and initialed and dated by both the Rating Official and employee. It will be necessary for the weight assigned to this critical element to be redistributed among the remaining critical elements in collaboration between the Rating Official and the employee.

Performance ratings and communication of those ratings must be completed no later than 45 calendar days from the end of the rating period, **November 13, 2009**, in accordance with DOE's performance management policy. This excludes employees of Rating Officials who have left either through retirement, reassignment, or transfer after July 1, 2009; or employees whose performance standards were not communicated prior to July 1, 2009. The Federal Human Resources Branch can assist you in dealing with these exceptions if and when they occur.

The original signed FY 2009 performance ratings must be submitted to your servicing Human Resources Specialist by **November 16, 2009** for their review and processing.

Part III - Performance Award Guidelines for All Employees

All award nominations should be coordinated through the appropriate Assistant Manager for concurrence.

Eligibility: Only the highest performers should receive a rating of Significantly Exceeds Expectations (SEE), the highest rating level. This level represents unusually high quality performance that is typical of only exceptional employees. This level of performance must be consistently demonstrated throughout the rating period in order for this rating to be appropriate. All employees who receive a summary performance rating of SEE must receive a performance award.

Workflow: Award justifications and related Workflow requests will not be necessary for employees receiving monetary performance awards on the basis of SEE ratings. Quality Step Increases in lieu of monetary performance awards for SEE ratings, and Special Act Award nominations, including Time Off Awards, must be submitted through Workflow.

If you have questions regarding this information, please contact Wayne Shrader in the Federal Human Resources Branch at (865) 574-2636.

Melanie M. Kent

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