

# memorandum

DATE: April 7, 2008

REPLY TO

ATTN OF: AD-442

SUBJECT: MID-YEAR PROGRESS REVIEWS AND SAFETY PERFORMANCE STANDARDS

TO: All ORO Employees

The 2008 performance appraisal cycle is October 1, 2007 through September 30, 2008, and employees are to receive a progress review at approximately the midpoint of the cycle each year. A progress review should be conducted for each non-SES employee **no later than April 30, 2008**. Documentation of the progress review should be provided to the Federal Human Resources Branch **no later than May 2, 2008**.

**Subjects to be Discussed:** Rating Officials are to discuss the appropriateness of the elements and standards, make any changes warranted in individual appraisal plans, inform each employee of performance expectations, provide a general performance assessment, and give the employee an opportunity to provide feedback or to raise concerns. This in itself is not a rating. Rating officials should also clarify roles and responsibilities to ensure that all employees understand their role in achieving the Department of Energy mission. If an employee's performance indicates deficiencies in meeting expectations described in any performance element, the rating official must discuss these with the employee, and together they will develop actions to correct the deficiencies. A formal opportunity period and a performance improvement plan (PIP) must be established if an employee's performance is determined to be deficient to the extent that it consistently fails to meet expectations. Rating Officials who have identified a need to establish a PIP should consult their Human Resources Specialist for additional information.

**Union Negotiations:** We have concluded our negotiations with the union on the impact and implementation of the safety standards and must now include such standards in the performance plans of all employees as described below, irrespective of whether the position is included in the bargaining unit.

**Safety Performance Standards for Employees Who Do Not Have Direct Responsibility for Executing Safety Assignments:** The Department of Energy has modified the manner in which performance under the mandatory Safety Performance Standards will be assessed for employees who do not have direct responsibility for executing safety assignments. To further stress the importance of safety, the standard for these employees has been strengthened to include weighted points, and this weight will be factored into the overall computation of the annual performance summary rating. A performance rating of "Meets Expectations (ME)" under the safety element will carry a weight of 5 points and a rating of "Fails to Meet Expectations (FME)" will carry a weight of zero points. As was previously the case, an FME rating on this critical element will result in an overall summary rating of FME.

This modification will necessitate a change in the manner in which performance elements are currently weighted in existing performance plans. Rather than using a standard weight distribution of 30 points for the first 2 elements and 15 points for the remaining 2 elements, the weights should be distributed as follows:

**Program Accomplishments:**

- Element 1 – 30 points
- Element 2 – 30 points
- Element 3 – 15 points
- Element 4 – 10 points
- Generic Safety Element - 5 points
- Mandatory Personal Attributes – 2 points each

The generic safety standard in Attachment 1 should be added to performance plans for employees who do not have direct responsibility for executing safety assignments. When progress reviews are conducted, supervisors should adjust the points on each employee's performance plan by making pen and ink changes in accordance with the weight distributions listed above. Employees should be asked to initial and date beside the change and sign their new safety element **no later than April 30, 2008**. A copy of the amended plan should be provided to the Federal Human Resources Branch **no later than May 2, 2008**.

**Safety Performance Standards For Line Employees Who Have Direct Responsibility For Executing Safety Assignments:** Safety performance standards for line employees who have direct responsibility for executing safety assignments have also been established. Supervisors are encouraged to use the generic standard defined in Attachment 2 for these employees. Please note that this standard should only be used for line employees; it is not appropriate for inclusion in the performance plans of matrix or support employees.

While it is permissible to use a standard that was in place prior to the establishment of the safety performance standards, any previously established standards must be reviewed and approved by the ORO Assistant Manager for Environment, Safety, and Health prior to being officially implemented as a "safety performance standard" under this initiative. Irrespective of whether the standard defined in Attachment 2 or a previously established standard is used, employees should be asked to initial and date any pen and ink changes or sign acknowledging new standards **no later than April 30, 2008**. A copy of any amendments should be provided to the Federal Human Resources Branch **no later than May 2, 2008**.

**Documentation:** Appropriate forms are attached for your convenience and are available on the Human Resources website as follows:

**For Managers and Supervisors:** Use the DOE Managerial/ Supervisory Performance Appraisal Form – Progress Review available at <http://www.oro.doe.gov/pmab/Forms/Forms.htm> .

For Non-Supervisory Employees: Use Part II of the U.S. Department of Energy, Performance Management Plan and Appraisal for Non-Supervisory Employees available at <http://www.oro.doe.gov/pmab/Forms/Forms.htm> .

As a reminder, each employee should receive a copy of his/her progress review documentation with originals submitted to the Federal Human Resources Branch **no later than May 2, 2008**, for inclusion in the employee's official performance file. Questions should be directed to your Human Resources Specialist.



Melanie M. Kent, Chief  
Federal Human Resources Branch

Attachments:

Attachment 1 – Generic Performance Standard for Employees Who Do Not Have Direct Responsibility for Executing Safety Responsibilities

Attachment 2 – Generic Performance Standard for Line Employees Who Execute Safety Responsibilities

Attachment 3 – DOE Managerial/ Supervisory Performance Appraisal Form – Progress Review

Attachment 4 – Part II of the U.S. Department of Energy, Performance Management Plan and Appraisal for Non-Supervisory Employees

**ATTACHMENT 1**

**Generic Performance Standard for Employees Who Do Not Have Direct Responsibility for Executing Line Safety Responsibilities**

*Instructions for Use: Attach this form to existing performance plans as applicable. This element is weighted at 5 points. Adjust the points distribution on the Program Accomplishment Element to equal 85 points so that the combined total of both Elements is 90 points.*

<b>Employee Name:</b>	<b>Performance Rating Cycle:</b>  10/1/07 – 9/30/08
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**Element/Summary Statement:** Support Departmental safety and health objectives in order to maintain a safe work environment.

<b>Element</b>	<b>Expectations</b>
<b>Generic Safety Element</b> – The Department of Energy expects that all DOE employees will report potential safety violations or unhealthy working conditions to management or appropriate safety official in a timely manner. Such reports may be anonymous.	<ul style="list-style-type: none"> <li>• When violations and corrective actions are identified in an individual work area, the employee consistently complies with the corrective actions identified to resolve the unsafe condition.</li> <li>• Adheres to established emergency response procedures during exercises, drills, and emergency situations.</li> <li>• Completes required safety training.</li> </ul>

**Acknowledgement of Performance Element:** I understand that my signature on this individual element indicates only that I have reviewed the element. I understand that failure to sign this performance element does not affect its validity.

Rating Official's Name (Typed or Printed)	Rating Official's Signature:	Date:
Employee's Name (Typed or Printed)	Employee's Signature:	Date:

## ATTACHMENT 2

### Generic Standard for Line Employees Who Execute Safety Responsibilities

*Instructions for Use: Attach this form to existing performance plans as applicable. If used, this element is intended to replace existing safety performance elements.*

<b>Employee Name:</b>	<b>Performance Rating Cycle:</b>
	<b>10/1/07 – 9/30/08</b>

Element	Expectations
<p><b>Element/Summary Statement:</b> Eliminate workplace accidents, injuries, illnesses, unplanned releases to the environment and strengthen regulatory enforcement actions.</p>	<p>Implements functional plan(s) to improve contractor health and safety performance.</p> <p>Ensures appropriate performance measures and goals are established and are effectively utilized to monitor contractor health and safety performance in accordance with Department Policy 450.7 and contract provisions, respectively.</p> <p>For assigned functions, ensures adequate performance data is collected and analyzed to identify deficiencies and weak safety performance areas before the occurrence of serious mishaps.</p> <p>For assigned functions, ensures health and safety performance is systematically evaluated against established goals and appropriate actions are taken in a timely manner to address negative trends and significant performance deficiencies. Corrective actions are completed in accordance with approved schedules and organizational safety strategies to prevent recurrences.</p> <p>Ensures processes have been established and effectively implemented to assure contractor staff understand their health and safety responsibilities and are held accountable for compliance and effective performance of health and safety expectations.</p> <p>Promptly identifies and investigates unsafe or unhealthy working conditions.</p>

**Acknowledgement of Performance Element:** I understand that my signature on this individual element indicates only that I have reviewed the element. I understand that failure to sign this performance element does not affect its validity.

Rating Official's Name (Typed or Printed)	Rating Official's Signature:	Date:
Employee's Name (Typed or Printed)	Employee's Signature:	Date:

**Progress Review**

<b>Name:</b>		<b>Rating Period:</b>	
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**Instructions:** Discuss and document progress achieved to-date by the employee in terms of the expected outcomes specified under the performance standards for each sub-element. Documentation and discussion should also address the need for any performance improvements specified below. Changes in priorities or workload, the availability of resources and other factors affecting the employee's ability to meet performance expectations should be considered and appropriate adjustments to the employee's performance plan should be made. (Additional comments may be placed on a separate page.)

<b>Critical Element I – Program Accomplishment Sub-Elements</b>	<b>Comments/Progress</b>
1.	
2.	
3.	
4.	
5.	
<input type="checkbox"/> <b>Safety Standard Program Accomplishment Sub-Element</b> <i>(Manager executes safety responsibilities.)</i> <input type="checkbox"/> <b>Safety Standard Critical Element</b> <i>(Managers in support positions.)</i>	- or -

<b>Critical Element II – Managerial Attributes</b>	<b>Comments/Progress</b>
1. Subject Matter Expertise	
2. Customer Service and Communications	
3. Resources Management Skills	
4. Team Building	
5. Diversity	

Rating Official

Date

Employee

Date

**Part II: Progress Review #1:** The supervisor must conduct at least one formal progress review with the employee to communicate feedback regard the performance as compared to the performance expectation established in the performance plan.  
*For Headquarters - the supervisor must conduct a minimum of two (2) formal progress reviews with the employee.*

Job Performance		Comments/Assessment
1.		
2.		
3.		
4.		
5.	<i>Safety Job Performance Element</i>	
Employee Performance Attributes		Comments/Assessment
• Responsibility/Accountability		
• Communication		
• Teamwork		
• Innovation/Quality Improvement		
• Customer Service		

**Acknowledgement of Progress Review:**

The employee has been afforded the opportunity to discuss the progress review with the Rating Official and has received a copy of this progress review. By signing below, the Rating Official and the employee acknowledge the discussion of the employee's progress in performing the Job Performance, Employee Performance Attributes, and Safety critical elements set forth in Part I, Sections A, B, and C has taken place.

Rating Official's Name (Typed or Printed):	Rating Official's Signature:	Date:
Employee's Name (Typed or Printed):	Employee's Signature:	Date:
Reviewing Official's Name (Typed or Printed):	Reviewing Official's Signature:	Date:
<input type="checkbox"/> Employee declined to sign form. <input type="checkbox"/> Employee not available to sign form.	Comments:	Date:

• Note: The signatures of both the rating and Reviewing Officials are required if a critical element is added, deleted, or the measures or weights of an existing element are modified.