

# memorandum

DATE: January 12, 2001

REPLY TO:

ATTN OF: AD44:Howse-Smith

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 2000 performance appraisal cycle for ORO and YAO employees ended December 31, 2000. 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.

## **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, 2000, (whichever is later) and ending December 31, 2000. If an employee has not been on a plan in his/her current position for the full 90 days by December 31, 2000, 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 Personnel Management 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 **January 26, 2001**. Bargaining unit employees have 5 days to review their ratings prior to signature.
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 9, 2001**. 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.

## **Part II - Individual Development Plans/Training Needs Assessment**

1. Basis for IDPs. IDPs are required for all employees by DOE O 360.1A and should be individually tailored. IDPs describe objectives and activities for the employee's career development and are a win/win strategy because they benefit both the employee and the organization. Employees win because implementing and 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/Training Needs Process. Training needs identified on IDPs are used to (1) determine global courses that ORO should conduct on site, and (2) serves 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.
3. Discussions with Employees. Input for IDPs should be discussed with employees during the same time frame as appraisal discussion and be concluded by **February 2, 2001**. Supervisors who have employees that do not want to complete an IDP should contact Patty Dockery in the Training and Development Group at (865) 576-1875.
4. 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](http://www.ora.gov/tdd/tddhome.htm)).
5. Completion of Documentation. The original IDP should be forwarded to the Training and Development Group by **February 9, 2001**. A copy of the completed and signed IDP Form should be given to the employee, and a copy should be retained by the employee's organization.

Any questions on the performance appraisal system should be directed to your Personnel Management Specialist. Questions on Individual Development Plans should be directed to Patty Dockery at (865) 576-1875.

A handwritten signature in black ink, reading "Patricia Howse-Smith". The signature is written in a cursive style with a large, looping initial "P".

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**

<b>Part A - Certification of Discussion and Issuance of Performance Appraisal Plan and Recertification</b>				
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

<b>Part B - Certification of Progress Review</b>		
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

<b>Part C - Certification of Receipt of Performance Rating</b>		
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

<b>Part D - Certification of Ratings Generated Through Matrix Management Reviews</b>			
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

<b>Part E - Certification of Delayed Rating</b>		
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