

U.S. Department of Energy Non-Supervisory Performance Plan and Appraisal Form (fillable)

This form serves as an official record of the employee's performance during the rating period.

1. Employee Name:		2. Pay Plan/Series/Grade:		
3. Position Title:		4. Organization:		5. Duty Station:
6. Performance Period:				
Start date:			End date:	
7. Select the appropriate rating under this plan.				
<input type="checkbox"/> Annual Rating of Record				
<input type="checkbox"/> Advisory Rating (select one below):				
<input type="checkbox"/> Detail	<input type="checkbox"/> Position Change	<input type="checkbox"/> Temporary Promotion	<input type="checkbox"/> Other (Specify):	
<input type="checkbox"/> Special Rating of Record Based On:				

Cascaded Organizational Goals:

The employee performance plan must align with (i.e., support) organizational goals and targets that are established in an organization's annual performance plan and/or that have been included in the Senior Executive Service (SES) member's or manager's performance plan. Alignment should be transparent so that the employee knows what he/she is to accomplish in order to support the goal.

To demonstrate the cascaded goal alignment: Select the strategic, program or organizational goal(s) relevant to this performance plan. For major program or organizational goals, annotate the alignment document, goal number, and goal title.

- DOE Strategic Goal #1. Energy Security: Promoting America's energy security through reliable, clean, and affordable energy.
- DOE Strategic Goal #2. Nuclear Security: Ensuring America's nuclear security.
- DOE Strategic Goal #3. Scientific Discovery & Innovation: Strengthening U.S. science discovery, economic competitiveness, and improving quality of life through innovations in science and technology.
- DOE Strategic Goal #4. Environmental Responsibility: Protecting the environment by providing a responsible resolution to the environmental legacy of nuclear weapons production.
- DOE Strategic Goal #5. Management Excellence: Enabling the mission through sound management.
- Major Program Goal:
- Organizational Goal:
- SES or Manager Plan. (Name and Title)

Acknowledgement of Performance Plan:

The employee has been afforded the opportunity to discuss the critical elements and standards with the Rating Official and has received a copy of this plan. The following signature blocks should be signed within 30 days from the start of the appraisal period, entrance on duty of a new employee, or upon a formal change to this plan. By signing below, the Rating Official and the employee acknowledge the discussion of the Job Performance and Employee Performance Attributes critical elements set forth in Part I, Sections A and B.

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

Employee declined to sign form.

Employee not available to sign form.

Date:

Part I: Goal Alignment, Results-focused, and Critical Elements: The job performance critical element(s) should:

- directly relate to the organizational goal.
 - hold the employee accountable for achieving results.
 - include clear, credible measures of performance of quality, quantity, timeliness, and/or cost-effectiveness.
- The sum of the assigned weights for the Job Performance Critical Elements must equal 90.**

A. Job Performance Critical Elements – “Meets Expectations” Performance Level

	Goal Linkage	Results-Focused Critical Element with Credible Measure(s)	Weight
1.			
2.			

3.			
4.			
Total Weight =			90 pts.

Performance Period:

B. Employee Performance Attributes Critical Element: The following performance attributes are the combined components of a single critical element and are required for all non-supervisory employees. It is the expectation of the Department of Energy that all employees will support departmental safety and health objectives in order to maintain a safe work environment and employees will report potential safety violations or unhealthy working conditions to management or appropriate safety officials in a timely manner. Such reports may be anonymous. Safety responsibilities for employees in support positions are addressed in the Employee Performance Attributes critical element.

The attributes: (1) may not be of equal importance; therefore (2) the supervisor and employee should agree upon the level of importance, and (3) indicate such by an assigned weight of 1, 2, or 3. The sum of the fixed weights for the five attributes must equal 10.

Attribute	Standard	Weight
<ul style="list-style-type: none"> Responsibility and Accountability 	<ul style="list-style-type: none"> Sets well-defined and realistic professional goals; displays initiative, effort and commitment towards completing assignments in a timely manner while maintaining the integrity of the organization. Identifies problems; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives and to make recommendations. Willingly accepts personal responsibility and accountability for individual contributions and those made as a member of a team. Completes professional development requirements and opportunities to maintain state-of-the-art skills. Adheres to relevant government and organization policies and regulations. Practices safe work habits and takes action to resolve unsafe conditions. 	
<ul style="list-style-type: none"> Communication 	<ul style="list-style-type: none"> Shares information openly and regularly with others. Presents complex/technical information in a logical, understandable and persuasive manner, where appropriate. Written/oral communications are clear, accurate, concise, and well organized. Listens to other's ideas and points of view, and seeks to clarify for understanding. 	
<ul style="list-style-type: none"> Teamwork 	<ul style="list-style-type: none"> Builds and maintains collegial, effective relationships that facilitate achieving desired goals, including departmental safety and health objectives. Uses collaborative decision making techniques to facilitate teamwork. Exhibits willingness to support others in the accomplishment of their assignments. Actively contributes to accomplishment of organizational goals. Supports organizational decisions once they are made. Shares knowledge, expertise, information and credit freely across levels and functions. 	
<ul style="list-style-type: none"> Innovation and Quality Improvement 	<ul style="list-style-type: none"> Initiates and/or supports quality improvements in systems, services, or work processes, such as corrective action identified to resolve unsafe conditions. Recommends alternatives to established thinking, policies, practices, methods and approaches designed to achieve organizational efficiency, cost savings/avoidance, etc. Is cooperative, constructive, and adaptable in response to new ideas, to changing situations, and to technological innovations. 	
<ul style="list-style-type: none"> Customer Service 	<ul style="list-style-type: none"> Responds appropriately and in a timely fashion to customers/stakeholders concerns and requests, including those regarding safety and health issues. Reacts constructively to changes in needs and priorities. Consistently helps customers and partners to overcome problems or difficulties. Keeps customers and partners up to date on progress. Designs and adapts products and services to meet customer needs. Meets schedules and commitments. 	
Total Weight =		

Performance Period:

Part II: Progress Review #1: The supervisor must conduct at least one formal progress review with the employee to communicate feedback regarding 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.	

Employee Performance Attributes	Comments/Assessment
<ul style="list-style-type: none"> • Responsibility/Accountability 	
<ul style="list-style-type: none"> • Communication 	
<ul style="list-style-type: none"> • Teamwork 	
<ul style="list-style-type: none"> • Innovation/Quality Improvement 	
<ul style="list-style-type: none"> • 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 and the Employee Performance Attributes critical elements set forth in Part I, Sections A and B 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:

Employee declined to sign form.

Employee not available to sign form.

• 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.

Performance Period:

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

Job Performance	Comments/Assessment
1.	
2.	
3.	
4.	

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 set forth in Part I, Sections A and B has taken place.

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

Employee declined to sign form.

Employee not available to sign form.

• 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.

Part III: Annual Performance Summary Rating:

A. Calculation of the job performance critical element.

Results-Focused Critical Element with Credible Measures(s) (Refer to Part 1, Section A)	Assigned Weight	x	Rating Value (1, 0.5, or 0)	=	Score
•		x			
•		x			
•		x			
•		x			
Job Performance Critical Elements Total				=	

B. Calculation of employee performance attributes critical element score. The collective weight of the attributes critical elements is fixed at 10 points. The weight for an individual attribute may range from 1 to 3 points.

Employee Performance Attributes (Refer to Part 1, Section B)	Assigned Weight	x	Rating Value (1, 0.5, or 0)	=	Score
• Responsibility/Accountability		x		=	
• Communication		x		=	
• Teamwork		x		=	
• Innovation/Quality Improvement		x		=	
• Customer Service		x		=	
Employee Performance Attributes Total (See notes below)				=	
Summary Performance Score (Job Performance Critical Elements + Employee Performance Attributes Total)				=	

Notes:

- (1) A rating of **Needs Improvement (NI)** on the Attributes Critical Element is assigned if an employee receives either:
 - a rating of NI on two or more attributes; or
 - a rating of Fails to Meet Expectations on one attribute and Needs Improvement on another.
- (2) A rating of **Fails to Meet Expectations (FME)** on the Attributes Critical Element is assigned if an employee receives a rating of FME on two or more attributes. 0 points must be assigned to each individual attribute rated at the FME level.

Performance Period:

Table 1. Summary Rating Conversion Codes.		
Summary Performance Score Range	Summary Rating	Code
95-100	Significantly Exceeds Expectation	SE
80-94	Significantly Exceeds Expectation	SE
50-79	Meets Expectations	ME
49 or below; no element rated FME	Needs Improvement	NI
1 or more elements rated FME	Fails to Meet Expectation	FME

C. Overall Summary Rating:	
a. Summary Performance Score (Copy Summary Performance Score located in Part III, Section B) =	
b. Overall Summary Rating (Using the Summary Rating Conversion Code Table above, Convert the Summary Performance Score into the Summary Rating) =	

Part IV. Acknowledgement of discussion of overall summary rating.		
Rating Official's Name (Typed or Printed):	Rating Official's Signature:	Date:
Reviewing Official's Name (Typed or Printed):	Reviewing Official's Signature:	Date:
The employee's signature confirms that the overall summary rating has been discussed with the Rating Official. The signature does not indicate agreement with rating or the appraisal recommendation. (The employee can attach comments as applicable.)		
Employee's Name (Typed or Printed):	Employee's Signature:	Date:

Employee declined to sign form.

Employee not available to sign form.

Date:

Privacy Act Statement

This performance appraisal form is subject to the provisions of the Privacy Act of 1974 (P.L. 93-579; Statute 1896. Copies will be retained and provided for review by appropriate management officials. The form is used to document the evaluation of the incumbent's performance in completing the assigned critical elements. The information is also used to determine performance award eligibility and compensation benefits. The authority to collect this information is derived from 5 USC 4305 and 5 CFR Part 430, Performance Management. The information will not be disclosed outside the Department without prior consent, except as required or permitted by law or Office of Personnel Management notices.

Instructions

Part I – Goal Alignment and Results Focused Critical Performance Elements with Credible Measures

- **Goal Alignment** – The performance plan must contain at least one (*preferably all*) Job Performance critical element that specifies a result/outcome which:
 - (1) is linked to an organizational or strategic goal, and
 - (2) is cascaded down from the SES or manager.The source document (i.e., DOE Strategic Plan, DOE Annual Plan, Organizational Strategic or Annual Plans, President’s Management Agenda (PMA), the President’s National Energy Policy, etc.) and the specific goal number must be annotated in the Goal Linkage. Employee should be able to see and understand how the results for which they are held responsible are linked to those specified in their supervisory/managerial chain; thereby, creating a clear “line-of- sight” between individual performance and organizational success.
- **Critical Element** – A critical element is an assignment or responsibility of such importance that unacceptable performance in a single critical element would constitute an overall “Fails- to-Meet” summary performance rating. A critical element should include measure(s) that specify the performance threshold(s), requirement(s), or expectation(s) written at the “Meets Expectations” performance level. A critical element or measure may be modified, deleted, or adjusted prior to the last 90 days of the rating period.
- **Participation** – The Rating Official must provide each employee the opportunity to participate in developing their performance plan to include establishing the critical elements with measures and assigning weights for each. The Rating and Reviewing Officials have final authority regarding the substance of the performance plan.
- **Categories of Critical Elements** – The performance plan must contain two categories of critical elements: job performance, employee attributes.
 - **Section A – Job Performance Critical Elements:** 1-4 job performance elements that address individual functional activities and responsibilities, important mission objectives and goals, or key programmatic accomplishments.
 - **Section B – Employee Performance Attributes:** Five (5) factors which contribute to the employee’s successful accomplishment of their intended products, outcomes, or deliverables. Each of the five attributes is assessed by the Rating Official as a component of one Employee Performance Attributes Critical Element.
- **Weights:** The Rating Official, with input from the employee, must assign weights to the job performance and employee attributes critical elements in order to establish distinctions in the importance of elements for attaining the desired goals of the organization. All weights must be expressed as whole numbers.
 - **Job Performance Critical Element:** 10 points is the minimum weight that can be assigned to any Job Performance Critical Element. The collective weight of all Job Performance Critical Elements specified in the plan must not exceed 90 points.
 - **Employee Performance Attributes Critical Element:** Each attribute may be assigned a weight of 1, 2, or 3. The collective weight of all five attributes must not exceed 10 points.

The Rating Official must discuss the impact of assigned weights with the employee during all key “milestones” of the performance appraisal process, i.e., during the development and issuance of the performance plan, progress review(s), and annual appraisal.

- **Acknowledgement of Performance Plan:** The signatures in this section affirm the discussion by the parties regarding the job performance and employee performance attributes critical elements set forth in Part I, Sections A and B occurred. The discussion should address specific examples of performance required to meet the standards, as well as the consequences resulting from failing to meeting them.

Part II – Progress Review:

Based on a fiscal year performance cycle, the Rating Official must conduct and document a minimum of one (1) formal progress review approximately mid-way through the performance cycle. Headquarters supervisors are required to conduct and document a minimum of two (2) progress reviews approximately one-third (1/3) and two-thirds (2/3) through the performance cycle. The Rating Official will provide feedback to the employee, addressing performance strengths, weaknesses, adjustments to the weights and/or measures, and training and developmental opportunities. The Rating Official and the employee will initial and date each individual change to the plan. The Reviewing Official should also review and acknowledge the changes made to a plan during the performance cycle.

Part III – Annual Summary Rating:

The Annual Summary Performance Rating Score is computed by multiplying the assigned weight for each critical element by its assessed rating value (i.e., 1, 0.5, or 0). An exception to this computation method exists if one or more critical elements are rated at “Fails to Meet Expectations” (FME). A FME rating of any critical elements results in an overall summary rating of FME.

- **Section A. – Calculation of the job performance critical element score:** The performance score for each critical element is calculated by multiplying the assigned weight (populated from Part I, Section A) of the element by its assessed rating value.
- **Section B. –Calculation of employee performance attributes critical element score:** The performance score for each employee performance attribute is calculated by multiplying the assigned weight (populated from Part I, Section B) of the element by its assessed rating value.

- **Section C. – Overall Summary Rating:** Determine the overall summary rating by selecting the appropriate summary rating in accordance with Table 1.

Part IV – Acknowledgement of discussion of overall summary rating:

The Rating Official and Reviewing Official are required to sign. The employee's signature confirms that the overall summary rating has been discussed with the Rating Official. The signature does not indicate agreement with rating or the appraisal recommendation. The employee can provide comments as applicable.