



U.S. Department of Energy  
Energy Efficiency and Renewable Energy

# Appendix H Model Senior Executive Services Performance Appraisal



## U.S. Department of Energy Senior Executive Service Performance Appraisal

Form # DOE F 331.2 (10-01-01)

Name:		Title:	
Organization:		Duty Station:	
Performance Rating Period:	From:	To:	

**Performance Agreement Certification:** *This is to verify that we have met, discussed, and understand expectations for the established performance appraisal period.*

\_\_\_\_\_  
Rating Official's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Executive's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Rating Official's Name (typed or printed)

\_\_\_\_\_  
Executive's Name (typed or printed)

**Privacy Act Statement**

*This form is subject to the provisions of the Privacy Act. Copies will be retained by the Executive and Technical Resources Division, Office of Human Resources Management, and provided for review and retention as required to appropriate management levels having a need to know, such as the Performance Review Board or the Executive Resources Board.*

*This Senior Executive Service (SES) Performance Appraisal gathers and records information on how Departmental executives are performing their duties and responsibilities. The information will be used to determine eligibility for retention in, or removal from, the SES, entitlement to awards, and compensation benefits. The authority to collect this information is contained in Title IV of the Civil Service Reform Act of 1978. The information will not be disclosed outside the Department without prior consent except as required or permitted by law.*

U.S. Department of Energy  
Form # DOE F 331.2a (10-01-01)

**Element I • Key Programmatic Accomplishment**

**Instructions:** At the beginning of the performance cycle, identify your key performance priorities. Be as specific and measurable as possible, and indicate completion dates. Throughout the performance cycle, track your progress and accomplishments and modify your performance priorities as necessary.

Keep in mind that all key objectives should be SMART:

- Specific:** Your goal should be focused and include enough detail so there is no confusion around what exactly you are trying to accomplish.
- Measurable:** Your goal should be such that when you are through, you have tangible evidence of your accomplishment.
- Acceptable:** Your goal should be set by you and agreed upon by your manager.
- Realistic:** Set goals that are achievable.
- Timely:** Indicate when you plan to achieve your goal.

<b>Key Objectives</b>	<b>Effectiveness And Efficiency Measures</b> <i>(i.e., specific expected outcomes; performance goals; and program improvements, such as cost reductions, improved timeliness, output measures, etc.)</i>	<b>Execution Targets</b> <i>(i.e., timeframes, completion dates, implementation strategies, etc.)</i>	<b>Results Achieved</b> <i>(i.e., actual outcomes, impacts, program improvements, etc.)</i>
<p>1. Implement the President's Management Agenda initiatives through EERE Management Action Plan (MAP) and improve the efficiency and effectiveness in all operational areas.</p>	<p>A. REV 2/1/06 Strategic Management of Human Capital. Employ EERE's Work Force Analysis to address recruiting and diversity goals while moving EERE towards developing employee critical skills. Accommodate near-term needs for transition such as buy-outs and begin transition to address the long-term needs of EERE by establishing the work-force of the future.</p> <p>FY 2006 Performance Standards for 100% of employees are established on time, linked to corporate goals and used to track performance.</p> <p>Individual Development Plans (IDPs) will be developed for 50% of employees needing or requesting training. No training is approved without an approved IDP.</p> <p>Individual employees have been consulted about their Individual Development Plans, opportunities for both training and professional development has been provided, and employees are recognized for outstanding achievement.</p> <p>Continue implementing MAP. Each quarter, add actions to the plan as processes are institutionalized, ones that add to EERE's ability to get results.</p> <p>B. Competitive Sourcing. Increase competition</p>	<p>A. REV 2/1/06 By 6/30/06, managers will review and update their Workforce Analysis to address issues associated with structure, size and skills mix.</p> <p>REV 2/1/06 By 9/30/06 begin long-term needs planning for workforce of the future.</p> <p>By 11/1/05 all performance standards are established and linked and evaluated against EERE goals.</p> <p>By 12/1/05 IDPs are current for all staff and managers in EERE. By the end of FY 06, complete all IDP assignments and training, as approved, subject to funding constraints.</p> <p>By 9/30/06 over 90% of MAP milestones have been met on schedule. SOPs issued for MAP milestones already accomplished.</p> <p>B. REV 3/7/06 By 9/30/06, EERE meets its small business contract</p>	

U.S. Department of Energy  
Form # DOE F 331.2a (10-01-01)

	<p>for all procurement awards by 10% considering and using private sector sources to get work done as cost effectively as possible using competitive solicitations to the maximum extent possible. This will be done while also meeting DOE's small business goals.</p> <p>C. REV 2/1/06 Improved Financial Performance. Develop and execute an annual Acquisition Plan to help improve the timeliness of the projects funded with the goal of reducing uncosted obligations to 25% of total appropriated budget (minus earmarks and formula grants).</p> <p>REV 2/1/06 Subject to STARS availability and capability, program direction funding is managed and reported monthly to EERE managers.</p> <p>D. REV 2/1/06 Expanded Electronic Government. Complete Corporate Planning System (CPS) development and begin steady state operations. Use CPS as EERE's chief electronic means to track the fiscal and technical performance of all work.</p> <p>E. REV 2/1/06 Budget and Performance Integration. Continue to develop and employ Multi Year Program Plans (MYPPs) annually and DOE's Joule system quarterly as a means of integrating EERE budget and performance. Programs will conduct internal fiscal and technical review of their programs.</p>	<p>goals.</p> <p>C. REV 2/1/06 By 12/31/05 FY 07 Acquisition Plan in place, and by 6/30/06, 70% of all awards are in place, excluding earmarks and formula grants, using integrated program and project management teams.</p> <p>EERE will have a 10% increase in end of year costing as compared to EOY FY 05, except for programs in compliance with current CFO uncosted policy.</p> <p>Program direction funding is managed and reported monthly to EERE managers.</p> <p>D. CPS monthly reports will be used at staff meetings and performance reviews.</p> <p>All EERE funds are moved by CPS.</p> <p>Data quality issues are addressed in CPS. Program Managers and PMC Managers use the Monthly Report to insure CPS data quality issues are addressed.</p> <p>All EERE projects are managed using CPS.</p> <p>E. REV 2/1/06 Updated MYPPs are submitted in draft by 09/30/06 for every program. Joule milestones are tracked by monthly reports and an overall green rating is attained for each program.</p> <p>Programs use stage gate type decision processes for R&amp;D actions, and incorporate risk analysis tools when fully developed.</p>	
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U.S. Department of Energy  
Form # DOE F 331.2a (10-01-01)

	<p>F. Better R&amp;D Investment Criteria. Continue to develop and track appropriate measures quarterly to ensure the effectiveness of the R&amp;D managed through such means as the PART scores. This will require continued development of EERE's corporate analytical capability -- building the analytical tool box.</p>	<p>The FY 08 budget process will utilize ESE guidance, improved corporate analysis information to drive decisions, address the key DOE strategic goals, and amend program performance goals and budgets based on technical progress and funding patterns.</p> <p>Internal program reviews conducted at least semi-annually. Peer reviews conducted at least bi-annually.</p> <p>F. MYPPs are consistent with PART criteria. Stable to rising PART scores.</p> <p>REV 2/1/06 Develop and implement the Hub and Spoke by 9/30/06 and provide improved corporate analysis, metrics, and modeling information for use in guiding EERE program decisions.</p>	
<p>2. Continuous Improvement of conference management practices.</p>	<p>A. REV 2/1/06 Baseline and plan 100% EERE sponsored conferences, including attendees, cost and number.</p>	<p>A. REV 2/1/06 Complete a stricter internal conference management guide for use by EERE NLT 3/31/06. Managers to complete FY 07 Conference Plan 6/30/06. Ensure 100% conferences are managed through the Office of Technology Advancement and Outreach and conducted in accordance with all governing DOE Orders.</p>	
<p>3. REV 2/2/06 Effectively communicates and implements EERE's policies and priorities, objectives and measurements, and Congressional and legislative activities.</p>	<p>A. REV 2/2/06 Interfaces with the Secretary's Office; ensures consistency of EERE's positions/policies, and responds to Secretary's Office in a timely, accurate and effective manner.</p> <p>B. Ensures that EERE operates efficiently and effectively, through approved channels, in the areas of Congressional relations.</p> <p>C. REV 2/1/06 Meets EAct Statutory requirements and deadlines for Congressional mandated reports and deliverables.</p> <p>D. REV 2/1/06 Assists in the nomination process for a new Assistant Secretary.</p>	<p>A. REV 2/2/06 Ongoing</p> <p>B. REV 2/1/06 Congressional and public relations are conducted in a timely and appropriate manner and to the maximum benefit of EERE.</p> <p>C. REV 2/1/06 Ensure EERE complies with Congressional direction and correspondence reflects timely accurate, and responsive information.</p> <p>D. REV 2/1/06 Assists in bringing on</p>	

U.S. Department of Energy  
Form # DOE F 331.2a (10-01-01)

		board a new Assistant Secretary, including the Congressional hearing and beyond.  Ensures the transition to EE is efficient, EERE's transition book is prepared and accurate, and EERE senior management briefings are conducted.	
4.			
5.			

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Form # DOE F 331.2b (10-01-01)

**Element II • Key Leadership Attributes**

**1. Demonstrates Functional Competence**

Maximizes personal productivity and effectiveness by ensuring that functional and professional skills are continually upgraded and utilized.

		Mixed Performance	Excellent Performance
Low Performance	Solid Performance	Outstanding Performance	
<p>Does not strive to achieve high levels of productivity or quality, "gets by".</p> <p>Has difficulty estimating skill level, often taking assignments that either are too easy and under-utilize expertise, or are too challenging and result in inefficient use of time and energy.</p> <p>Tends not to keep up-to-date with the appropriate level of expertise in his/her functional area.</p> <p>Postpones skill development, placing learning and development low in priority.</p> <p>Is uncomfortable acting as a resource to others within area of expertise, even when asked.</p> <p>Needs prompting to seek out manager to discuss concerns about area of expertise.</p>	<p>Demonstrates expertise in his/her functional area, leveraging unique core of knowledge and skills to achieve results.</p> <p>Seeks assignments that make good use of expertise, engaging in an appropriate mix of challenging and comfortable assignments.</p> <p>Delivers high levels of productivity and quality.</p> <p>Is open to new approaches and takes steps to increase knowledge and skills.</p> <p>Keeps up-to-date in areas of expertise.</p> <p>Responds positively to requests for assistance in area of expertise, actively passing on expertise to others.</p> <p>Seeks input from manager/others about how to add to/improve in area of expertise.</p>	<p>Proactively applies expertise in ways that add significant value for customers, partners, and DOE.</p> <p>Suggests ways to further expand responsibilities, while still fulfilling all current job requirements.</p> <p>Consistently demonstrates growth in breadth and depth of knowledge and skills, even when faced with heavy workload.</p> <p>Seeks and adapts state-of-the-art approaches and practices, both from within and outside DOE, to the clear benefit of the organization.</p> <p>Serves as an active resource for others, mentoring others in area(s) of expertise.</p>	

**2. Exhibits Analytical Ability and Solves Problems**

Critically and thoroughly evaluates issues despite incomplete or ambiguous information; takes appropriate action to design pragmatic solutions.

	Mixed Performance	Excellent Performance
Low Performance	Solid Performance	Outstanding Performance
<p>May not recognize a problem exists until pointed in the right direction.</p> <p>Tends to be passive, taking the approach that the problem will take care of itself.</p> <p>Often shows lack of clarity in thought process (e.g., not considering links among aspects of a problem).</p> <p>May neglect to use available data to identify and analyze problems.</p> <p>Tends to fall back on "standard" solutions without support.</p> <p>Mistakes the symptoms for the problem.</p> <p>Tends to focus on one aspect of a problem to the exclusion of others, or focuses more on what can't be done than on finding a solution.</p> <p>May not consider the impact of suggested solutions, and is unprepared if an action taken has unintended consequences.</p> <p>Tends not to share the reasoning for suggested solutions.</p>	<p>Breaks moderately difficult problems into their components for resolution.</p> <p>Gathers and effectively analyzes multiple data sources to determine root cause of problems.</p> <p>Communicates and shares effective problem solving processes.</p> <p>Generates alternative solutions and seeks input from others.</p> <p>Typically foresees the consequences of a suggested course of action.</p> <p>Consistently shares thoughts and supports recommendations with sound rationale.</p> <p>Makes sound decisions in the face of ambiguity and uncertainty.</p> <p>Appropriately escalates problems or resource issues for resolution.</p>	<p>Breaks complex problems into manageable parts, identifying symptoms and causes.</p> <p>Obtains and analyzes all available data from several sources, and arrives at logical conclusions.</p> <p>Recognizes the gaps in available data and suggests other ways to obtain the needed information.</p> <p>Makes decisions based on the total picture, rather than relying on optimizing based on a single solution.</p> <p>Anticipates obstacles and thinks ahead to next steps, reliably predicting consequences of potential courses of action.</p> <p>Is skillful at involving others in a way that creates ownership of the problem and a sense of urgency about implementing the solution.</p> <p>Fosters an environment that encourages dissenting opinions/input.</p>

**3. Builds Diversity**

Promotes, develops, applies and evaluates approaches to achieving and maintaining workforce diversity and positive workforce relations within his/her organization.

Mixed Performance		Excellent Performance	
Low Performance	Solid Performance	Outstanding Performance	
<p>Has difficulty communicating the strategic vision, DOE goals, and/or organizational unit goals as they relate to the group.</p> <p>Demonstrates lack of personal commitment to the vision, goal, or job.</p> <p>Builds an organization structure based on personalities or other considerations unrelated to fulfillment of the operating plan.</p> <p>Has difficulty thinking creatively about ways to meet staffing requirements within budget (e.g., "doesn't value").</p> <p>Makes statements/takes actions that show poor understanding of the relative competitive position of the organization.</p> <p>Focuses vast majority of time and energy internally without attention to building external information networks that inform the business strategy.</p> <p>Indicates preferences for working with some team members over others.</p> <p>Has trouble accepting input from others or providing constructive suggestions for change or improvement.</p> <p>Jumps to conclusions without considering the whole picture.</p> <p>Has difficulty distinguishing important from trivial information.</p> <p>Has difficulty maintaining a positive perspective under changing circumstances.</p>	<p>Values cultural diversity and other differences and demonstrates this by articulating a clear purpose and direction for the organization as well as communicates priorities to remain focused on key initiatives.</p> <p>Demonstrates effective leadership and direction by using merit principles to ensure fairness in recruitment, selection, hiring, appraisal, promotion, training, and reward efforts resulting in highly qualified, diverse pools of candidates for job vacancies leading to a competent staff.</p> <p>Identifies areas of under-representation of women, minorities, and persons with disabilities and takes affirmative actions to address workforce imbalances using necessary tools and opportunities to achieve success.</p> <p>Ensures that his/her team is selecting the very best talent, that trained team members participate in candidate evaluation and selection decisions, and that he/she monitors progress in achieving a representative workforce, and personally intervenes to assure goals are addressed and accomplishments enhanced.</p> <p>Provides employees with meaningful career planning and development opportunities, advocates skills and training needs assessments, and the development of individual development plans consistent with mission priorities and workforce goals.</p>	<p>Identifies successors and bench strength for key positions, anticipating and developing long-term staffing strategies to achieve business goals given future skill requirements.</p> <p>Ensures that the group selects and retains people who consistently achieve results that exceed expectations.</p> <p>Actively considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations.</p> <p>Actively builds team spirit and brings people together, creating an atmosphere of accountability and pride in work.</p> <p>Actively encourages team to take on leadership responsibilities, providing them with the autonomy and freedom to accomplish breakthrough results on their own.</p> <p>Fosters an environment in which the leader is not the only one to recognize accomplishments.</p> <p>Personally acts and influences others to move successfully into new areas, systems, and/or services.</p> <p>Consistently expands external people networks and plays a leadership role in specialty/area of expertise.</p>	
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**3. Builds Diversity (continued)**

Promotes, develops, applies and evaluates approaches to achieving and maintaining workforce diversity and positive workforce relations within his/her organization.

Mixed Performance		Excellent Performance	
Low Performance	Solid Performance	Outstanding Performance	
<p>Places low priority on building relationships or networks of contacts with those who can help achieve work-related goals.</p> <p>Tends to be unwilling to compromise or negotiate.</p> <p>Has a hard time understanding or incorporating others' perspectives, sticking too strongly to personal positions to the exclusion of others' points of view.</p>	<p>Fosters an environment where people can work together cooperatively and effectively to achieve organizational goals and openly addresses conflict, disagreements, and differences in perspective, and achieves productive resolutions.</p> <p>Treats employees fairly and honestly when dealing with disagreements and workforce disputes using alternative dispute resolution techniques and other means to resolve disputes.</p> <p>Demonstrates genuine concern and respect for direct reports and co-workers, conveys confidence in others' ability and desire to do their best, considers and responds to the needs, feelings, and capabilities of others; works constructively with others regardless of differences in style or interests, and is respectful and supportive of others' ideas and concerns.</p> <p>Proactively develops positive business relationships and support for objectives, and develops and maintains people networks inside and outside of DOE, specifically addressing information to the benefit (or deficit) of the organization.</p>	<p>Drives hard on the right issues.</p> <p>Demonstrates flexibility when interacting with others.</p> <p>Always willing to pitch in and help, and encourages others to do the same.</p> <p>Nurtures key relationships.</p> <p>Knows when to stand firm and when to compromise based on specific circumstances.</p> <p>Champions initiatives even when faced with resistance.</p>	

**4. Serves Customers and Builds Partnerships**

Treats internal and external customers and partners with care, consideration, and respect; seeks to understand their needs and exceeds their expectations.

Mixed Performance		Excellent Performance	
Low Performance	Solid Performance	Outstanding Performance	
<p>Appears uncertain of customers' or partners' needs or priorities.</p> <p>May agree to unrealistic commitments.</p> <p>Often forces the choice between sacrificing quality or service in the face of problems or difficulties.</p> <p>Experiences frustration when faced with changing customer or partner needs and priorities.</p> <p>Does not recognize the impact of careless remarks about customers/partners.</p> <p>May have difficulty maintaining composure and objectivity when encountering challenging customer interactions.</p> <p>Rarely solicits feedback on the quality of service delivered, assuming everything is fine unless notified otherwise.</p>	<p>Understands customers' or partners' needs and priorities, putting their interests at the center of what is to be accomplished.</p> <p>Secures commitments that are realistic and attainable, and keeps them, delivering on time with quality.</p> <p>Responds quickly to customer/partner concerns and requests, reacting constructively to changes in needs and priorities.</p> <p>Consistently helps customers and partners overcome problems or difficulties.</p> <p>Keeps customers and partners up-to-date on progress.</p> <p>Demonstrates respect for customers and partners, maintaining composure and objectivity in challenging situations.</p> <p>Solicits feedback on the quality of service provided and takes corrective action, seeking help if needed.</p>	<p>Proactively solicits information about customers' and partners' needs and priorities.</p> <p>Responds creatively to customers' or partners' requests for change, probing in-depth and offering insightful solutions.</p> <p>Identifies key trends that will have a positive impact on the services provided.</p> <p>Insists on win-win solutions when dealing with customers/partners.</p> <p>Avoids sacrificing quality or service in the face of serious problems or difficulties.</p> <p>Goes the extra mile to help customers or partners overcome complex problems or difficulties.</p> <p>Mentors others in developing exemplary customer/partner interaction skills and in managing difficult situations.</p>	

**5. Communicates Effectively**

Creates understanding and commitment to action by presenting ideas and facts, both orally and in writing, in a clear, concise manner; listens to others and checks for understanding; uses different forms of communication appropriately.

Mixed Performance		Excellent Performance	
Low Performance	Solid Performance	Outstanding Performance	
<p>Often has difficulty presenting ideas and issues or responding to questions clearly or concisely, orally or in writing.</p> <p>Written materials often require revision to correct omissions, structural problems, or spelling/grammatical errors.</p> <p>Tends not to think through the wording and tone of communication, sometimes producing negative reactions.</p> <p>Requires prompting to listen to others' viewpoints or to ask clarifying questions.</p> <p>May sound defensive or confrontational when trying to support own positions.</p> <p>Needs guidance in the type of communication appropriate to the situation (e.g., may use e-mail to avoid difficult situations).</p>	<p>Presents his/her positions in a concise and convincing manner, orally and in writing.</p> <p>Generates written materials that only occasionally require limited revision.</p> <p>Uses professional wording and tone.</p> <p>Attends to others' non-verbal messages, and manages own body language.</p> <p>Listens to others' viewpoints and seeks to clarify for understanding.</p> <p>Is able to successfully support own positions in a non-confrontational manner.</p> <p>Uses communication methods (e.g., e-mail, voice mail, meetings) appropriate to the situation.</p>	<p>Articulates ideas and issues, even in stressful or unexpected situations.</p> <p>Generates written materials that set a standard for others to follow.</p> <p>Provides insightful feedback and improves others skills in written and oral communication.</p> <p>Customizes communication style and level of detail to the audience, adeptly handling both the details presented and overall tone.</p> <p>Actively solicits others' viewpoints and takes responsibility for ensuring two-way exchange, even in stressful situations.</p> <p>Maintains composure when challenged on his/her position, even when others are confrontational.</p> <p>Excels in facilitating understanding among participants when in a group setting.</p>	

**6. Innovates**

Improves results by actively generating, encouraging, and supporting new ideas or approaches.

Low Performance	Mixed Performance	Solid Performance	Excellent Performance	Outstanding Performance
<p>Seems hesitant either to generate or support new ideas or initiatives.</p> <p>When new ideas are presented, tends to focus on why elements will not work.</p> <p>Needs help understanding how new work fits into the bigger picture.</p> <p>Demonstrates greater sense of comfort with the status quo.</p> <p>Needs help thinking through potential roadblocks to achieving results.</p> <p>Proposes concepts hastily, without full consideration for real-world application.</p>		<p>Consistently generates creative ideas for systems, services, or work processes.</p> <p>Explores and supports new ideas and initiatives.</p> <p>Identifies areas for improvement within own area of expertise/job function.</p> <p>Looks outside area of expertise to identify new ideas and initiatives.</p> <p>Creates an open environment for people to voice new ideas.</p> <p>Takes prudent risks to create new value for customers.</p>		<p>Thinks "outside the box" and encourages risk-taking.</p> <p>Anticipates obstacles, thinking ahead to next steps and clearly mapping optimum direction.</p> <p>Involves and communicates well with affected parties, building confidence in the process and consensus around the new idea or initiative.</p> <p>Identifies areas for improvement across areas of expertise/job functions, along with insightful solutions.</p> <p>Encourages dissenting opinions/input and incorporates diverse perspectives, continually challenging the status quo by asking "what if...?"</p>

**7. Demonstrates Personal Leadership**

Demonstrates high levels of productivity and quality; accountability; consistently looks for new ways to apply skills and get work done; treats co-workers and customers with respect and dignity.

Mixed Performance		Excellent Performance	
Low Performance	Solid Performance	Outstanding Performance	
<p>Requires a lot of supervision to produce results.</p> <p>May not always follow through on commitments.</p> <p>Has difficulty adopting a "can do" attitude, tending to focus more on what cannot be achieved than how to get to results.</p> <p>Shows little respect for the ideas or work methods of others.</p> <p>Has difficulty establishing credibility due to lack of consistency or failing to fully disclose the facts involved in a situation.</p> <p>Sometimes uses tone of voice, words, and/or body language that convey uncontrolled anger or blame (e.g., raised voice, disrespectful language, ridicule, etc.).</p> <p>Handles crises in a way that may antagonize others or jeopardize working relationships.</p>	<p>Serves as a model for others in demonstrating high levels of productivity and quality, often producing results beyond what is expected.</p> <p>Demonstrates accountability and integrity through consistency between words and actions.</p> <p>Creates opportunities to apply skills without having to wait for direction.</p> <p>Respects and values people of diverse backgrounds.</p> <p>Remains optimistic and positive, even in the face of difficult circumstances.</p> <p>Demonstrates flexibility and resilience in response to constraints and adversity.</p> <p>Conveys a clear sense of personal and career goals, values, and interests.</p> <p>Personally pursues learning and development, and opportunities that stretch and build capabilities.</p>	<p>Always looking for new ways to achieve strong results through optimum use of combined skills and abilities.</p> <p>Goes the extra mile to keep commitments, and if unable to do so, proactively confers with affected parties to agree to solutions.</p> <p>Conveys and stimulates optimism and faith in the future, even when faced with particularly difficult circumstances.</p> <p>Exhibits conviction and determination in making and defending tough or unpopular decisions.</p> <p>Seeks out and positively addresses dissenting opinions.</p> <p>Proactively addresses issues with others in a supportive, constructive way.</p> <p>Is adept at handling crises in a way that builds confidence in DOE and strengthens internal and external working relationships.</p>	

**8. Creates Effective Operating Plans**

Develops and implements an operating plan with clear objectives and performance metrics that support the organization's direction/strategy. Holds staff accountable for performance results.

Mixed Performance		Excellent Performance	
Low Performance	Solid Performance	Outstanding Performance	
<p>Has difficulty formulating objectives, schedules, and priorities, easily losing focus or overall sense of priority.</p> <p>Often does not anticipate issues that may disrupt plans and schedules.</p> <p>Does not involve others sufficiently to ensure necessary coordination/collaboration.</p> <p>May not identify or accommodate changing priorities and re-plan.</p> <p>Makes tactical decisions without considering DOE's long-term strategic objectives.</p> <p>Typically does not give priority to developing measures or monitoring progress.</p> <p>Measures the wrong things, taking focus away from overall direction/strategy.</p> <p>May not take action when performance does not meet the established standards.</p> <p>Frequently operates in a crisis mode, putting excessive pressure on self and others to meet deadlines due to poor planning.</p>	<p>Develops aggressive operating plans that optimize time and resources.</p> <p>Demonstrates understanding of the roles of different organizational units in fulfilling the operating plan.</p> <p>Involves the right people in the appropriate stages of the business planning process.</p> <p>Anticipates and proactively addresses issues that may cause disruptions to the operating plan.</p> <p>Identifies risks and develops contingency plans.</p> <p>Remains flexible and integrates changing priorities into existing plans.</p> <p>Establishes challenging goals and adopts meaningful metrics for evaluating results.</p> <p>Monitors progress and adjusts the operating plan where necessary.</p>	<p>Involves the right people (e.g., background, level, organizational unit) at the appropriate stages of the planning process, gaining commitment and follow-through on objectives and timelines.</p> <p>Anticipates disruptions and develops and communicates contingency plans.</p> <p>Devotes time and effort to ensuring plans and goals are current.</p> <p>Draws on experience to learn from past successes and mistakes and clearly applies lessons learned.</p> <p>Proactively manages risks.</p> <p>Proactively identifies, develops, and/or refines systems and procedures for improving planning accuracy and efficiency.</p> <p>Identifies and utilizes key metrics to monitor and improve business performance.</p> <p>Grasps the full meaning and interrelationships of key indicators, and can create meaningful action plans to resolve issues.</p>	

**9. Builds Capability**

Recognizes the specific competencies or capabilities needed and hires, develops, and retains the talent necessary to execute the vision and mission of the organization; promotes team building.

Mixed Performance		Excellent Performance	
Low Performance	Solid Performance	Outstanding Performance	
<p>Builds an organizational structure based on personalities or other considerations unrelated to fulfillment of the operating plan.</p> <p>Has difficulty selecting and retaining individuals who are solid performers.</p> <p>Under- or over-staffs.</p> <p>Frequently goes to outside suppliers for expertise that is essential to the organization's long-term success and that should be developed in-house.</p> <p>Struggles in determining if the group has the resources necessary to function effectively.</p> <p>Has difficulty thinking creatively about ways to meet staffing requirements within budget (e.g., doesn't value cross-training).</p> <p>Restructures without overall thought to long-term impact on business results, or short-term impact on morale and productivity.</p> <p>Tends to make unilateral decisions about staffing.</p>	<p>Determines the organizational structure best suited to implementing and achieving the operating plan, reassessing periodically in light of changing needs and objectives.</p> <p>Obtains and uses resources to achieve results.</p> <p>Benchmarks, sets standards, and develops measurements for productivity, quality, timeliness, etc.</p> <p>Identifies present and future competencies needed in the workforce.</p> <p>Exposes team to best practices among other groups.</p> <p>Ensures that his/her organization is selecting the very best talent in the industry.</p> <p>Ensures trained team members participate in candidate evaluation and selection decisions.</p>	<p>Anticipates and establishes competencies that will be required in the future, building capacity in time to meet the requirements.</p> <p>Is creative in obtaining and using resources, modeling and encouraging flexibility and thinking "outside the box".</p> <p>Consistently makes a measurable and significant improvement in productivity, quality, timeliness, cost, etc.</p> <p>Creatively restructures to meet changing requirements to achieve greater productivity at less cost.</p> <p>Ensures that his/her organization selects and retains people who consistently achieve results.</p> <p>Identifies successors and bench strength for key positions, anticipating and developing long-term staffing strategies to achieve business goals given future skill requirements.</p>	

**10. Coaches, Motivates, Develops and Mentors**

Conveys and instills in others a strong sense of energy, excitement, ownership, and personal investment in their work; gives people the opportunity and latitude to exercise authority and run their areas of responsibility; and actively coaches and mentors employees for assuming greater responsibilities and to develop their full potential.

Low Performance	Mixed Performance	Solid Performance	Excellent Performance	Outstanding Performance
<p>Does not regularly provide direction, or may fail to clearly communicate performance expectations.</p> <p>Demonstrates favoritism/lack of objectivity in applying standards, policies, rewards, and/or sanctions.</p> <p>Frequently does not hold individuals accountable for their actions.</p> <p>Demonstrates little interest in coaching others to improve, preferring to focus on getting his/her own work accomplished, until Focal Point Review.</p> <p>Tends not to recognize employees as individuals, using a "one size fits all" method to providing coaching and feedback.</p> <p>May lose his/her temper with direct reports, or demonstrate non-verbally that he/she is not interested in what the individual has to say as a "defense".</p> <p>Tends to avoid taking responsibility for personal mistakes or blames others for them.</p> <p>Implies that taking time for personal learning and development is not a priority (e.g., "there's too much work to be done").</p>	<p>Provides direction and clearly communicates performance expectations, checking back to ensure understanding.</p> <p>Provides timely and constructive performance feedback on a regular basis, accurately appraising the strengths and weaknesses of direct reports.</p> <p>Holds individuals responsible for their actions in a manner that is fair and objective.</p> <p>Offers coaching suggestions on a regular basis to help team members improve, providing encouragement and support.</p> <p>Remains calm and uses words and body language that encourage discussion and full exploration of the problem.</p> <p>Partners with team members to further career goals and interests.</p> <p>Fosters an environment of continuous learning and development.</p>	<p>Defines roles and responsibilities in a way that optimizes individual and team performance.</p> <p>Challenges individuals to capitalize on their strengths and experience growth.</p> <p>Fosters an environment that encourages individuals to create experiences that will help them fulfill their long-term personal aspirations.</p> <p>Encourages direct reports to coach one another, providing insight as to how to be an effective and inspirational coach.</p> <p>Acknowledges personal mistakes and applies lessons learned, modeling the significance of personal growth.</p> <p>Actively demonstrates concern for the well being of direct reports and appreciation for the efforts they are expending to improve/develop.</p>		



U.S. Department of Energy  
Form # DOE F 331.2c (10-01-01)

**Progress Review**

<b>Name:</b>		<b>Organization:</b>		<b>Rating Period:</b>	
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**Instructions:** Discuss and provide comments on progress achieved and/or performance improvement needed in the below areas. Consider ongoing priorities as well as project completed during the performance period to date. Focus on the priorities, projects, and accomplishments you have been tracking and those that you have discussed with your manager throughout this rating period.

Key Programmatic Objectives	Comments On Progress

Key Leadership Attributes	Comments On Progress
1) Demonstrates Functional Competence	
2) Exhibits Analytical Ability and Solves Problems	
3) Builds Diversity	
4) Serves Customers and Builds Partnerships	
5) Communicates Effectively	
6) Innovates	
7) Demonstrates Personal Leadership	
8) Creates Effective Operating Plans	
9) Builds Capability	
10) Coaches, Motivates, Develops and Mentors	

U.S. Department of Energy  
Form # DOE F 331.2c (10-01-01)

Check the appropriate box.	
<input type="checkbox"/>	Performance, if continued, will result in at least a "Meets Expectations" rating recommendation. Comments concerning performance, including performance improvement needs, have been discussed with the executive.
<input type="checkbox"/>	Performance, if continued, will result in less than a "Meets Expectations" rating recommendation. Specific performance deficiencies are documented in the performance plan and, as applicable, attached documentation. Deficiencies have been discussed with the executive and timely assistance will be conducted at regular intervals throughout the remaining appraisal period.
<input type="checkbox"/>	Performance expectations need updating. Necessary changes have been discussed with the executive.
<input type="checkbox"/>	No change in performance expectations since establishment of performance plan.

<b>Rating Official's Signature</b>	<b>Date</b>	<b>Executive's Signature</b>	<b>Date</b>
<b>Rating Official's Name</b> <i>(typed or printed)</i>		<b>Executive's Name</b> <i>(typed or printed)</i>	

U.S. Department of Energy  
Form # DOE F 331.2d (10-01-01)

**Annual Summary Rating**

**Element I – Key Programmatic Accomplishment**

<b>Name:</b>		<b>Organization:</b>		<b>Rating Period:</b>	
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**Instructions:** Refer to current SES appraisal guidance for completion.

**Exceeds Expectations (O):** Clearly exceeds performance expectations. A model executive who sets an example for others, while consistently making outstanding contributions to the Department. This rating level is reserved for top performing executives.

**Meets Expectations (ME):** Consistently meets all performance requirements. A solid performer.

**Needs Improvement (NI):** Occasionally does not meet performance requirements.

**Fails to Meet (U):** Regularly does not follow-through with meeting performance requirements. Job performance is below an acceptable standard and corrective action is required.

Key Programmatic Objectives	Ratings	Comments
1.	- SELECT -	
2.	- SELECT -	
3.	- SELECT -	
4.	- SELECT -	
5.	- SELECT -	

**Overall Rating for Element I:** - SELECT -

\_\_\_\_\_  
Rating Official's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Rating Official's Name (typed or printed)

U.S. Department of Energy  
Form # DOE F 331.2d (10-01-01)

**Element II – Key Leadership Attributes**

**Instructions:** The Department of Energy believes that practicing the Key Leadership Attributes will enable executives to be successful. Therefore, as part of the performance review, proficiency on DOE's key Leadership Attributes will be rated. All DOE senior executive performance will be evaluated on the 10 attributes.

**TN:** Too New to Rate; **L:** Low Performance; **M:** Mixed Performance; **S:** Solid Performance; **E:** Excellent Performance; **O:** Outstanding Performance  
(please refer to DOE F 331.2b for rating definitions)

Name of Executive:	Supervisor Rating					
	TN	L	M	S	E	O
1. Demonstrates Functional Competence – Maximizes personal productivity and effectiveness by ensuring that functional and professional skills are continually upgraded and utilized.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Exhibits Analytical Ability and Solves Problems – Critically and thoroughly evaluates issues despite incomplete or ambiguous information; takes appropriate action to design pragmatic solutions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Builds Diversity – Promotes, develops, applies and evaluates approaches to achieving and maintaining workforce diversity and positive workforce relations within his/her organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Serves Customers and Builds Partnerships – Treats internal and external customers and partners with care, consideration, and respect; seeks to understand their needs and exceeds their expectations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Communicates Effectively – Creates understanding and commitment to action by presenting ideas and facts – both orally and in writing – in a clear, concise manner; listens to others and checks for understanding; uses different forms of communication appropriately.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Innovates – Improves results by actively generating, encouraging, and supporting new ideas or approaches.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Demonstrates Personal Leadership – Demonstrates high levels of productivity and quality; accountability; consistently looks for new ways to apply skills and get work done; treats co-workers and customers with respect and dignity.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Creates Effective Operating Plans – Develops and implements an operating plan with clear objectives and performance metrics that support the organization's direction/strategy. Holds staff accountable for performance results.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Builds Capability – Recognizes the specific competencies or capabilities needed and hires, develops, and retains talent necessary to execute the vision and mission of the organization; promotes team building.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Coaches, Motivates, Develops and Mentors – Conveys and instills in others a strong sense of energy, excitement, ownership, and personal investment in their work; gives people the opportunity and latitude to exercise authority and run their areas of responsibility.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Overall Rating for Element II:** - SELECT -

Rating Official's Signature

Date

Rating Official's Name (typed or printed)

U.S. Department of Energy  
Form # DOE F 331.2a (10-01-01)

**Annual Summary Rating and Signatory Approvals**

<b>Name:</b> _____	<b>Organization:</b> _____	<b>Rating Period:</b> _____
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**Step 1. Initial Summary Rating**

A. Rating Official	Summary Rating									
	O	ME	NI	U						
1. Key Programmatic Accomplishments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
2. Key Leadership Attributes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
Initial Summary Rating <i>(The recommended rating is based on the lowest common denominator of the Critical Elements (e.g., if one element is a "Needs Improvement" and the other is at "Meets Expectations" level, the overall rating is "Needs Improvement.")</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
<table style="width:100%; border:none;"> <tr> <td style="width:45%; border:none;">_____ <b>Rating Official's Signature</b></td> <td style="width:5%; border:none;"></td> <td style="width:50%; border:none;">_____ <b>Date</b></td> </tr> <tr> <td colspan="3" style="border:none;">_____ <b>Rating Official's Name</b> <i>(typed or printed)</i></td> </tr> </table>					_____ <b>Rating Official's Signature</b>		_____ <b>Date</b>	_____ <b>Rating Official's Name</b> <i>(typed or printed)</i>		
_____ <b>Rating Official's Signature</b>		_____ <b>Date</b>								
_____ <b>Rating Official's Name</b> <i>(typed or printed)</i>										
<p><b>B. Higher Level Review</b></p> <p><input type="checkbox"/> Concur...    <input type="checkbox"/> Nonconcur...    ...with Rating Official's recommendation for current rating cycle. <i>(Note: in nonconcurrency, attach a written justification explaining reasons)</i></p>										
<table style="width:100%; border:none;"> <tr> <td style="width:45%; border:none;">_____ <b>Higher Level Reviewer's Signature</b></td> <td style="width:5%; border:none;"></td> <td style="width:50%; border:none;">_____ <b>Date</b></td> </tr> <tr> <td colspan="3" style="border:none;">_____ <b>Higher Level Reviewer's Name</b> <i>(typed or printed)</i></td> </tr> </table>					_____ <b>Higher Level Reviewer's Signature</b>		_____ <b>Date</b>	_____ <b>Higher Level Reviewer's Name</b> <i>(typed or printed)</i>		
_____ <b>Higher Level Reviewer's Signature</b>		_____ <b>Date</b>								
_____ <b>Higher Level Reviewer's Name</b> <i>(typed or printed)</i>										

SAMPLE

U.S. Department of Energy  
Form # DOE F 331.2e (10-01-01)

**Step 1. Initial Summary Rating (continued)**

<b>C. Executive</b>	
I have reviewed and discussed this appraisal with my supervisor. My signature does not necessarily imply that I agree with the appraisal recommendation. (Attach comments, as applicable.)	
_____	_____
<b>Executive's Signature</b>	<b>Date</b>
_____	
<b>Executive's Name</b> (typed or printed)	
<b>Response to lower rating recommendation by reviewing official:</b> (Attach comments as applicable.)	

**Step 2.**

<b>Performance Review Board (PRB) Chair:</b>	
<input type="checkbox"/> Concur <input type="checkbox"/> Nonconcur	
<b>Recommendation, if different than Rating Official:</b>	_____
_____	_____
<b>PRB Chair's Signature</b>	<b>Date</b>
_____	
<b>PRB Chair's Name</b> (typed or printed)	

**Step 3.**

<b>Annual Summary Rating:</b>				
<b>Determination:</b>	<input type="checkbox"/> Exceeds Expectations	<input type="checkbox"/> Meets Expectations	<input type="checkbox"/> Needs Improvement	<input type="checkbox"/> Fails to Meet
_____	_____	_____	_____	_____
<b>Secretary of Energy's or Designee's Signature</b>	<b>Date</b>			
_____				
<b>Secretary of Energy's or Designee's Name</b> (typed or printed)				

U.S. Department of Energy  
Form # DOE F 331.2f (10-01-01)

**Peer Feedback (Optional): Key Leadership Attributes**

**Instructions:** The DOE believes that practicing the Key Leadership Attributes will enable employees and managers to be successful. Therefore, in support of your peer's continuous growth towards performance excellence, you are requested to provide honest feedback on his/her demonstrated leadership capabilities. Please provide an assessment of each of the 10 "Key Leadership Attributes" listed below in comparison with the prescribed rating criteria (see scale below and attached attribute descriptions). Upon completion, please forward the form to the designated source for the executive's supervisor's consideration in conducting his/her annual evaluations and/or Progress Reviews.

**TN:** Too New to Rate; **L:** Low Performance; **M:** Mixed Performance; **S:** Solid Performance; **E:** Excellent Performance; **O:** Outstanding Performance  
(please refer to DOE F 331.2b for rating definitions)

Name of Executive:	Peer Rating					
	TN	L	M	S	E	O
1. Demonstrates Functional Competence – Maximizes personal productivity and effectiveness by ensuring that functional and professional skills are continually upgraded and utilized.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Exhibits Analytical Ability and Solves Problems – Critically and thoroughly evaluates issues despite incomplete or ambiguous information; takes appropriate action to design pragmatic solutions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Builds Diversity – Promotes, develops, applies and evaluates approaches to achieving and maintaining workforce diversity and positive workforce relations within his/her organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Serves Customers and Builds Partnerships – Treats internal and external customers and partners with care, consideration, and respect; seeks to understand their needs and exceeds their expectations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Communicates Effectively – Creates understanding and commitment to action by presenting ideas and facts – both orally and in writing – in a clear, concise manner; listens to others and checks for understanding; uses different forms of communication appropriately.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Innovates – Improves results by actively generating, encouraging, and supporting new ideas or approaches.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Demonstrates Personal Leadership – Demonstrates high levels of productivity and quality; accountability; consistently looks for new ways to apply skills and get work done; treats co-workers and customers with respect and dignity.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Creates Effective Operating Plans – Develops and implements an operating plan with clear objectives and performance metrics that support the organization's direction/strategy. Holds staff accountable for performance results.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Builds Capability – Recognizes the specific competencies or capabilities needed and hires, develops, and retains talent necessary to execute the vision and mission of the organization; promotes team building.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Coaches, Motivates, Develops and Mentors – Conveys and instills in others a strong sense of energy, excitement, ownership, and personal investment in their work; gives people the opportunity and latitude to exercise authority and run their areas of responsibility.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Overall Rating for Element II:** - SELECT -

Rating Official's Signature

Date

Rating Official's Name (typed or printed)