



PERFORMANCE RECORD

FOR

PERFORMANCE MANAGEMENT AND RECOGNITION SYSTEM EMPLOYEES

AND

PERFORMANCE MANAGEMENT SYSTEM EMPLOYEES

NAME OF EMPLOYEE _____

SOCIAL SECURITY NUMBER _____

POSITION TITLE/PAY PLAN/SERIES/GRADE _____

ORGANIZATION & LOCATION _____



GENERAL INSTRUCTIONS

The Performance Record contains the "Certifications," the Performance Appraisal Plan," and the "Performance Rating." These forms are to be used in conjunction with DOE 3430.3A, "Departmental Performance Appraisal System," for documenting performance elements and standards, the progress review, and the performance rating for employees who are not in the Senior Executive Service.

1. **PERFORMANCE PLANNING.** This involves the development of a performance plan which establishes the supervisor's performance expectations for subordinates during the upcoming rating period. The rating official should complete DOE F 3430-7 (with employee's participation) at the beginning of the rating period. Additional elements/standards should be listed on DOE F 3430.7B (continuation sheet) and attached herein. The rating official shall:
 - a. Review the employee's duties and responsibilities and identify and record performance elements of the employee's job, on DOE F 3430.7. Indicate whether each element is critical or noncritical. Generally, from three to eight elements will be used, at least one of which must be critical. An element may consist of more than one component (subelements), but ratings shall not be assigned to the individual subelements. Unless otherwise stated in the performance plan, each subelement will be considered significant enough that unacceptable performance of one may result in a rating of "Unacceptable" on the overall element even though performance on other subelements is at the "Fully Successful" or higher level.
 - b. Establish, with the employee's participation, performance standards, at the "Marginal," "Fully Successful," and "Outstanding" level. The generic outstanding standard in the appendix may be used in lieu of describing the individual standard. Number sequentially each element, and then indicate the total number of elements in the performance plan.
 - c. Obtain the reviewing official's approval and certification in Section A of this form. Individual copies of DOE F 3430.7A, "Certifications," are available for use in subsequent years when the "Performance Appraisal Plan" remains unchanged, but the integrated "Certifications" form has already been used.
 - d. Discuss and give a copy of the approved finalized elements/standards to the employee and request the employee's signature certifying that he or she has received a copy and has had an opportunity to discuss them.
2. **PROGRESS REVIEW.** At least once near the mid-point of the performance rating period, the rating official must inform each employee of the level of his or her performance in comparison to established elements and standards, note performance deficiencies, if any, suggest any mid-course corrective actions required, and determine the appropriateness of elements and standards. Certification of this discussion should be recorded in Section B of this form.
3. **PERFORMANCE RATING.** The rating official will rate employee performance at the end of the rating period based on the previously established elements and standards. The reviewing official's approval must be obtained prior to communicating the rating to the employee. Ratings on individual elements will be recorded and used in the assignment of an overall rating on the DOE F 3430.7 or 7C. Individual copies of the "Performance Rating" form, DOE F 3430.7C, are available for use in subsequent rating years when the "Performance Appraisal Plan" remains unchanged, but the integrated rating form has already been used. If performance is rated below Fully Successful," see Chapter V of DOE 3430.3A for additional instructions.
4. **DISTRIBUTION.** The employee receives a record of all completed forms herein, and a form bearing original signatures will be forwarded to the personnel office for inclusion in the employee performance file.

PRIVACY ACT STATEMENT AND DISCLOSURE OF SOCIAL SECURITY NUMBER

This form is subject to the provisions of the Privacy Act. Copies will be filed in the personnel office and will be available for review as required to appropriate management levels having a need to know.

The performance record documents information on how Departmental employees are performing their duties and responsibilities. The information will be used as a basis for various personnel actions such as training, reduction in force, pay determinations, rewarding, and removing employees. The authority to collect this information is in Sections 3321, 4305, 4315, and 5405 of title 5, United States code. The information will not be disclosed outside the Department without prior consent, except as required or permitted by law or Office of Personnel Management systems of records notices.

Disclosure of the social security number is mandatory to determine or verify eligibility for benefits accruing to employees such as additional tenure credit for reduction in force purposes, merit pay increases, within-grade increases and quality increases, which are directly linked to overall performance rating levels. In addition, the social security number will be used by the Department and the Office of Personnel Management to locate individuals for personnel research or survey responses and in the production of summary descriptive statistics and analytical studies pertaining to performance appraisals and related work force studies. Solicitation of the social security number by the Office of Personnel Management is authorized under provisions of Executive Order 9397 dated 11-22-43. The information gathered through the use of the number will be used only as necessary in personnel administration processes carried out in accordance with established regulations and published notices of systems of records.

CERTIFICATIONS

Section A CERTIFICATION OF DISCUSSION & ISSUANCE OF ELEMENTS/STANDARDS

a. I have received a copy of my elements/standards for this appraisal period and have been provided an opportunity to discuss them with the rating official. (Employee may provide comments on the reverse side of this form).

CHECK IF APPLICABLE.

b. _____ The elements/standards used in the Performance Appraisal Plan for the previous annual rating period will remain in effect during this rating period, which begins _____ and ends _____ .

(Signature of Employee)

(Date)

(Signature of Rating Official)

(Date)

(Signature of Reviewing Official)

(Date)

Section B CERTIFICATION OF PROGRESS REVIEW

Performance and progress to date have been discussed with the employee in accordance with DOE.3430.3A.

(Signature of Employee)

(Date)

(Signature of Rating Official)

(Date)

PERFORMANCE APPRAISAL PLAN

1. Name (<i>Last, First, Middle Initial</i>)	2. Pay Plan/Series/Grade	3. <u>Rating Period</u> From: To:
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4. Check One:
 Annual Rating Of Record Detail Position Change Temporary Promotion
 Other, specify:

PERFORMANCE ELEMENT Number _____ of _____ CRITICAL Noncritical

PERFORMANCE STANDARDS

MARGINAL

FULLY SUCCESSFUL

OUTSTANDING Generic standard will be used. Generic standard will not be used.

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PERFORMANCE APPRAISAL PLAN

1. Name (*Last, First, Middle Initial*)

2. Pay Plan/Series/Grade

PERFORMANCE ELEMENT

Number _____ of _____

_____ CRITICAL

_____ Noncritical

PERFORMANCE STANDARDS

MARGINAL

FULLY SUCCESSFUL

OUTSTANDING

_____ Generic standard will be used. _____ Generic standard will not be used.

PMRS/PMS PERFORMANCE RATING

NAME _____ SOCIAL SECURITY NUMBER _____

Item I. INSTRUCTIONS.

1. Indicate the title of each element from the Performance Appraisal Plan, DOE 3430.7; and indicate whether it is critical (C) or noncritical (NC). Assign a weight of **2** to each critical element and **1** to each noncritical element.
2. Rate each element by assigning a value for each element based on the following: Unacceptable = **0**; Marginal = **1**; Fully Successful = **2**; Highly Successful = **3**; Outstanding = **4**. Document performance on the reverse side of this page when an element is rated Outstanding based on the generic standard.
3. Perform the computations indicated, and check the appropriate summary rating.

ELEMENT NUMBER	(Title)	C NC	WT.	ELEMENT RATING					WEIGHTED RATING
				U=0	M=1	F=2	HS=3	O=4	
1			X						=
2			X						=
3			X						=
4			X						=
5			X						=
6			X						=
7			X						=
8			X						=
9			X						=
10			X						=
			TOTAL						

$$\left(\frac{\text{TOTAL OF WEIGHTED RATING}}{\text{TOTAL OF WEIGHTS}} \right) = \left(\text{SUMMARY RATING SCORE} \right)$$

SUMMARY RATING LEVELS

CRITERIA

1. UNACCEPTABLE (U)	– One or more critical elements do not meet the “Marginal” standard regardless of total score
1. MARGINAL (M)	– Summary rating score of 1.9 or less <u>and</u> no critical element is rated below “Marginal” OR A score above 1.9, but one or more critical elements is rated “Marginal” (no critical element is rated below “Marginal”)
3. FULLY SUCCESSFUL (FS)	– Summary rating score of 2.0 through 2.9 <u>and</u> no critical element is rated below “Fully Successful” OR A score above 2.9, but one or more noncritical elements is rated “Unacceptable” (no critical element is rated below “Fully Successful”)
4. HIGHLY SUCCESSFUL (HS)	– Summary rating score of 3.0 through 3.7 <u>and</u> no critical element is rated below “Fully Successful” <u>and</u> no noncritical elements is rated below “Marginal” OR A score above 3.7, but one or more noncritical elements is rated “Marginal” (no noncritical element is rated below “Marginal” <u>and</u> no critical element is rated below “Fully Successful”)
5. OUTSTANDING (O)	– Summary rating score of 3.8 or higher <u>and</u> no element is rated below “Fully Successful”

SUMMARY RATING	
U	_____
M	_____
FS	_____
HS	_____
O	_____

_____ Annual Rating Of Record; _____ Detail; _____ Position Change; _____ Temporary Promotion
_____ Other, specify:

Item II – CERTIFICATIONS

(Signature of Rating Official)

(Title & Organization)

(Date)

(Signature of Reviewing Official)

(Title & Organization)

(Date)

Employee – I have reviewed this performance rating, and it has been discussed with me. Check if appropriate:
_____ Comments are attached.

(Signature)

(Date)

Item III. DOCUMENTATION.

Describe actual performance in relation to the standard for each element that is rated "Outstanding" based on the generic Outstanding standard. (Attach a sheet of bond paper if more space is needed.)

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GENERIC "OUTSTANDING STANDARD. When used, this standard establishes criteria for rating both PMS and PMRS employees, including those with supervisory responsibilities, at the "Outstanding" level. The supervisory standard is applied in addition to the individual standard for PMS and PMRS employees, as appropriate. Because the standard represents general requirements, it is important to assure that the performance element itself is stated in comprehensive enough terms that the employee will know the essential component of his or her job requirements, the organization's goals, objectives, and work plans may be used to supplement the generic standard. Finally, because this is a general standard, it is also necessary to document specific employee accomplishments when individual elements are not described at the "Outstanding" level, and an "Outstanding" rating is assigned to a performance element based on the use of the generic standard.

STATEMENT OF GENERIC "OUTSTANDING" STANDARD FOR:

1 PMRS EMPLOYEES. This is a level of rare, high-quality performance. The employee has performed so well that organizational goals have been achieved that would not likely have been otherwise. The employee's mastery of technical skills and thorough understanding of the mission have been fundamental to the completion of program objectives.

a The employee has exerted a major positive influence on management practices, operating procedures, and program implementation, which has contributed substantially to the accomplishment of organizational goals. Prepared for the unexpected, the employee has planned and used alternate ways of reaching goals. Difficult assignments have been handled intelligently and effectively. The employee has produced an exceptional quantity of work, often ahead of established schedules and with little supervision. The employee's planning skills result in cost savings to the Government.

b In writing and speaking, the employee presents complex ideas clearly in a wide range of difficult communication situations. Desired results are attained.

2 PMS EMPLOYEES. This is a level of rare, high-quality performance. The quality and quantity of the employee's work substantially exceed "Fully Successful" standards and rarely leave room for improvement. The impact of the employee's work is of such significance that organizational objectives were accomplished that otherwise would not have been. The accuracy and thoroughness of the employee's work in relation to this element are exceptional. Application of technical knowledge and skills goes beyond that expected for the position. The employee significantly improves the work processes and products for which he or she is responsible. Thoughtful adherence to procedures and formats, as well as suggestions for improvement in these areas, increase the employee's usefulness.

a The employee plans so that work follows the most logical and practical sequence; inefficient backtracking is avoided. He or she develops contingency plans to handle potential problems and adapts quickly to new priorities and changes in procedures and programs without losing sight of the long-term purposes of the work. These strengths in planning and adaptability result in early or timely completion of work under all but the most extraordinary circumstances. Exceptions occur only when delays could not have been anticipated. The employee's planning skills result in cost-savings to the Government.

b In meeting element objectives, the employee maximizes all available options in handling interpersonal relationships with exceptional skill, anticipating and avoiding potential causes of conflict and actively promoting cooperation with clients, co-workers, and his or her supervisor. He or she improves cooperation among participants in the work and prevents misunderstandings.

c The employee seeks additional work or special assignments related to this element at an increasing level of difficulty. The quality of such work is high and is done on time without disrupting regular work. Appropriate problems are brought to the supervisor's attention; most problems are dealt with routinely by the employee and with exceptional skill.

d The employee's oral and written expression are exceptionally clear and effective.

e Complicated or controversial subjects are presented or explained effectively to a variety of audiences so that desired outcomes are achieved.

3 SUPERVISORY PMRS AND PMS EMPLOYEES. The employee is a strong leader who works well with others and handles difficult situations effectively. The employee encourages independence and risk-taking among subordinates, yet takes responsibility for their actions. Open to the views of others, the employee promotes cooperation among peers and subordinates, while guiding, motivating, and stimulating positive responses. The employee's work performance demonstrates a strong commitment to fair treatment, equal opportunity, and the affirmative action objectives of the organization.