U.S. DEPARTMENT OF ENERGY

SENIOR EXECUTIVE SERVICE

PERFORMANCE MANAGEMENT SYSTEM

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TABLE OF CONTENTS

CHAPTER 1 – GENERAL		PAGE(S)
1-1	Authority and Purpose	1
1-2	Coverage	2
1-3	Exclusions	2
CHAPTER 2 – BASIC RESPONSIBILITIES		
2-1	Secretarial Officers	2
2-2	Rating Officials	2
2-3	Higher Level Reviewing Officials	3
2-4	Members of the Senior Executive Service	3
CHAPTER 3 – ESTABLISHING THE PERFORMANCE PLAN		
3-1	Performance Plan Requirements	3-4
3-2	Critical Elements	4-5
3-3	Performance Requirements	6
CHAPTER 4 – APPRAISAL PROCESS		
4-1	Appraisal Period	6
4-2	120-day Moratorium	6
4-3	Policy	6-7
4-4	Progress Review	8
4-5	Peer Feedback ("Balanced Measures")	8-9
4-6	Change in Position or Supervisor During the Appraisal Period	9-10
CHAPTER 5 – PERFORMANCE APPRAISAL AND RATINGS		
5-1	Determining the Initial Summary Rating	10-12
5-2	Higher Level Review	13
5-3	Finalizing the Initial Summary Rating	13-14
5-4	Finalizing the Annual Summary Rating	14
CHAPTER 6 – PERFORMANCE AWARD (BONUS)		
6-1	Eligibility	14
6-2	Bonus Criteria	14-15
6-3	Bonus Pools	15
6-4	Restrictions on Paying Bonuses with Other Incentive Awards	15
CHAPTER 7 – PERFORMANCE BASED PAY ADJUSTMENTS		
7-1	Raising Pay	15
7-2	Requirements	16
7-3	Lowering Pay	16

CHAPTER 8 – OTHER INDIVIDUAL OR GROUP RECOGNITION 16

CHAPTER 9 – PERFORMANCE REVIEW BOARD (PRB)

9-1	PRB Purpose	17
9-2	PRB Membership Eligibility	17
9-3	PRB Membership	17
9-4	PRB Subcommittee Procedures	17-18
9-5	Recommendations to the Appointing Authority	18

CHAPTER 10 – PERFORMANCE BASED PERSONNEL ACTIONS

10-1	Required Actions (Transfer, Reassignment, Removal)	18-19
10-2	Removal of Probationers for Unacceptable Performance	19-20

CHAPTER 11 – APPEALS

11-1	Guidance and Procedures	20-21

CHAPTER 12 – GUARANTEED PLACEMENT OUTSIDE OF THE SES

12 – 1	Guidance and Procedures	21

CHAPTER 13 – SAVED PAY

13-1	Determining the Rate of Saved Pay	22

CHAPTER 14 – PERFORMANCE RECORDS

14-1	Maintenance Requirements	22-23

APPENDIX I - MOST FREQUENTLY ASKED SES PERFORMANCE MANAGEMENT QUESTIONS

APPENDIX II - REFERENCES

APPENDIX III - DEFINITIONS

APPENDIX IV - SES PERFORMANCE APPRAISAL FORM (with instructions)

U.S. DEPARTMENT OF ENERGY

SENIOR EXECUTIVE SERVICE

PERFORMANCE MANAGEMENT PLAN

CHAPTER 1 – GENERAL

1-1 Authority and Purpose

a. Title 5, United States Code (U.S.C.) 4311 – 4314 requires that each agency establish one or more Senior Executive Service (SES) performance appraisal systems.

b. Title 5, Code of Federal Regulations (CFR), Subpart C, Part 430 prescribes regulations for carrying out the statutory requirements for the SES performance appraisal system.

c. Within the boundaries of this plan, other performance management tools, e.g. 360 Degree Feedback approach, may be utilized with prior approval of the appointing authority or designee.

d. In addition to meeting regulatory and statutory requirements, the Department's SES performance management system has the purpose of:

(1) Linking performance plans and rating to clearly defined, mission related priorities, along with desired leadership attributes for all executives;

(2) Placing emphasis on performance planning and continuous feedback throughout the performance cycle;

(3) Making meaningful distinctions among executives with regard to performance ratings and rewards that are tied to results achieved;

(4) Enhancing effective communication and feedback between managers and executives in setting performance expectations, applying generic performance expectations and assessing results;

(5) Simplifying and streamlining the performance management process; and,

(6) Serving as the mechanism for the continuing development of SES members through the identification and provision of assistance required to enhance existing competencies as well as to correct deficiencies.

1-2 Coverage

This plan covers Department of Energy SES executives, as well as those Presidential appointees who have retained eligibility for SES performance appraisals and awards under 5 U.S.C. 3392(c).

1-3 Exclusions

This plan does not apply to SES members in the Federal Energy Regulatory Commission (FERC). Also excluded are Senior Level (SL), Scientific and Professional (ST) employees, Presidential appointees with Senate confirmation (PAS), and Excepted Service employees paid at rates within the SES pay schedule, i.e., appointed under Department of Energy Act (EJ), Department of Defense Act (EK), and National Nuclear Security Administration Act (EN) authorities.

CHAPTER 2 – BASIC RESPONSIBILITIES

2-1 Secretarial Officers:

a. Effectively implement and administer the SES performance management system in their respective organization in accordance with the provisions contained in this plan and the established organizational goals and missions.

(7) Integrate the performance management process into the strategic planning process for the organization.

(8) Ensure that appropriate training is provided for subordinate managers and their senior executives on the purpose, procedures and techniques of the performance management system, and ensure accountability of staff in adhering to the system to facilitate performance excellence.

(9) Ensure that provisions of the system are administered timely and equitably, and that appropriate records are maintained.

2-2 Rating Officials:

a. Communicate the objectives and procedures of the performance management system to executives.

b. Collaborate with executives in the development of performance objectives to achieve a mutual understanding of the individual performance plans, including written performance objectives, performance requirements, and timeframes for successful completion.

c. Ensure consistency in the development of performance objectives and requirements within the organization, and performance assessment is consistent

that only those executives whose performance meets expectations are rated as such.

2-3 Higher Level Reviewing Officials:

a. Review and approve all proposed performance plans and subsequent changes thereto before the final plan is provided to the executive.

b. Ensure consistency in the development of performance objectives and performance requirements within the organization and the equitable appraisal of senior executives in line with their established performance plan.

c. Review proposed initial ratings with the rating official, and provide feedback to the rating official pursuant to concurrence/non-concurrence with the proposal.

2-4 Members of the Senior Executive Service:

a. Collaborate with the rating official at the beginning of the appraisal cycle in the development of key performance objectives for Critical Element I, associated success measures, and execution targets. Additionally, discuss performance objectives and requirements in line with Critical Element II to gain a mutual understanding of the performance requirements and expectations established in the performance plan for successful performance during the appraisal period.

b. Perform against performance expectations to the best of their abilities.

c. Advise supervisors of changes in circumstances or conditions that may affect performance plans.

d. Meet with supervisors to discuss progress and proposed initial performance ratings.

CHAPTER 3 – ESTABLISHING THE PERFORMANCE PLAN

3-1 Performance Plans Shall:

a. Be established in consultation with all executives occupying SES positions regardless of the type of appointment. Final authority for establishing the plan rests with the rating official.

b. Be written and provided to the executive, normally within 30 calendar days of the beginning of the annual appraisal period or within 30 days of entering an SES position by appointment, transfer, reinstatement, reassignment, temporary assignment or detail expected to last 120 or more calendar days.

Actions Required for Establishing the SES Performance Plan:

- ✓ For Element I – Key Programmatic Accomplishments, rating officials and senior executives are required to collaborate in the development of between 3 to 5 key performance objectives (i.e., the "critical few") in addition to the generic safety

standard for SES Line Managers or the SES in Support Positions to be accomplished during the appraisal cycle (see page 1 of the attached performance plan). These tasks are to be clearly stated with measurable outcomes and documented in the department's organizations strategic plan goals. Performance evaluation will be based on the criteria provided: (1) results achieved, and (2) how effectively and efficiently the SES member executed or obtained the results. For Element II – Key Leadership Attributes, five Executive Core Qualifications are provided for the Meets Expectations level. (See page 2 of the performance plan).

✓ The rating official and executive sign the performance plan certifying that the objectives for the upcoming rating cycle have been discussed and are contained in the SES performance plan.

3-2 Critical Elements

Each Department SES performance plan shall contain critical elements and performance requirements, as described below:

a. **Critical Element I – Key Programmatic Accomplishments**:

This area of performance assessment focuses on the 3-5 "critical few" program and mission-related activities which are linked to the agency's strategic plan goals in the executive's area of responsibility. Total weight must be 60 points.

These objectives will be crafted by the senior executive and his/her manager. The objectives must be closely linked to the organization's mission and be operationalized in terms of expected outcomes/results, time frames, final products and services, etc.

The generic safety critical performance element must be included in its entirety in the annual performance plan. The SES Line Managers have broad oversight responsibilities for safety programs which include responsibility for the health and safety of employees in the organization or site (e.g. Site Managers or managers who supervise line managers who execute safety responsibilities.) The SES in support positions provide administrative, management and oversight support to DOE programs and offices. (e.g., General Counsel, Human Capital Management and the Chief Financial Officer etc.)

Each key objective will be tracked and evaluated in a uniform manner with two primary focuses: (1) how efficiently and effectively the senior executive executed or obtained the results, and (2) results achieved (e.g., program improvements, outcomes, policy impacts).

b. **Critical Element II – Key Leadership Attributes**:

This critical element focuses on "how" the executive carries out his/her responsibilities relative to highly desirable leadership attributes that are expected of all Departmental SES members. Total weight must be 40 points.

Each executive will be assessed against the 5 pre-defined executive core qualifications described below:

a. **Leading Change**: Demonstrated the ability to bring about strategic change, both within and outside the organization, to meet organizational goals. Inherent to this criterion is the ability to establish an organizational vision and to implement it in a continuous changing environment.

b. **Leading People**: Demonstrated the ability to lead people toward meeting the organization's vision, mission, and goals. Inherent to this criterion is the ability to provide an inclusive workplace that fosters the development of others, facilitates cooperation and teamwork, and supports constructive resolution of conflicts.

c. **Results Driven**: Demonstrated the ability to meet organizational goals and customer expectations. Inherent to this criterion is the ability to make decisions that produce high-quality results by applying technical knowledge, and analyzing problems, and calculating risks.

d. **Business Acumen**: Has an exceptional record of managing human, financial, and information resources strategically.

e. **Building Coalitions**: Showed an unusual level of cooperative effort to build coalitions internally and with other Federal agencies, State and local governments, nonprofit and private sector organizations, foreign governments, or international organizations to achieve common goals.

c. Non-critical elements and performance requirements shall not be used in SES performance plans.

d. Performance requirements must be job related and should be within the executive's control to accomplish.

3-3 Performance Requirements

a. Performance requirements for Critical Element I – Key Programmatic Accomplishments must be written at the "Meets Expectations (ME)" level. The absence of written performance requirements above and below the ME level, does not preclude assigning ratings at the "Outstanding," "Minimally Satisfactory," and "Unsatisfactory" levels.

b. Performance requirements are based on objective, measurable criteria and should include assignments for which the executive has control or substantial influence over the results.

c. The "ME" level should not be geared to the superior performer, therefore, words like "without fail" and "always" should be avoided.

CHAPTER 4 – APPRAISAL PROCESS

4-1 Appraisal Period

a. The minimum SES appraisal period is 90 calendar days.

b. The annual appraisal period is October 1 through September 30 of the following year, which coincides with the fiscal year (FY).

4-2 120-Day Moratorium

a. In the case of a career appointee, an appraisal and rating may not be made within 120 days after the beginning of a new Presidential Administration.

b. The moratorium applies to all phases of the formal appraisal process leading to an annual summary rating (final rating of record). The moratorium delays the appraisal and rating actions. It does not extend the length of the performance appraisal period.

4-3 Policy

a. There shall not be any prescribed quotas or distributions of performance rating levels within the Department.

b. SES appointees must be given a rating of record at least annually based on comparison of performance against the performance plan established for the appraisal period.

c. At or before the beginning of the appraisal period, the rating official should discuss with the executive what is expected during the appraisal period. The discussion should result in a clear, mutual understanding of the performance elements, and performance requirements contained in the plan.

d. An executive's appraisal period begins when the executive and rating official sign the written performance plan, which should be documented on the Department's Senior Executive Service Performance Appraisal form.

e. At the end of the appraisal period, each executive is required to document his/her accomplishments related to the two critical performance elements and provide them to the rating official. This information will serve as an integral part of the assigned initial summary rating discussion and determination, along with supporting the bonus and/or pay adjustment nomination, as applicable.

f. The appraisal will be based, to the maximum extent possible, on observable and measurable indicators of actual performance during the appraisal period and will contain no assessment of potential. Also, the appraisal will be based on both individuals and organizational performance, taking into account such factors as: (1) results achieved in accordance with goals established in the organization's strategic plan and other mission driven goals; (2) customer satisfaction; (3) employee perspectives; (4) the effectiveness, productivity and performance

quality of employees for whom the senior executive is responsible; and (5) meeting affirmative action, equal employment opportunity, and diversity goals and complying with the merit system principles set forth under section 2301 of Title 5, United States Code.

g. The rating official must consider any interim rating or appraisal information prepared for an executive who changed positions or served on a temporary assignment for at least 120 days during the appraisal period. Also, rating officials must consider and utilize input from a variety of sources such as customers, stakeholders, peers, etc., as appropriate, in determining an executive's initial summary rating.

h. The appraisal period may be terminated at any time after the minimum 90-day period when an executive is not performing satisfactorily and the rating and reviewing officials agree that an adequate basis exists on which to rate the executive's performance. This means that an unsatisfactory performer need not be retained in an SES position until the end of the rating cycle, although the executive must be given a reasonable opportunity to demonstrate competence in the position before being appraised. A rating assigned in this situation must go through the entire rating process including higher level review, action by the Performance Review Board (PRB), and final rating by the appointing authority. (Note: As determined appropriate by the appointing authority, other reasons for terminating the appraisal period may include matters such as implementation of a new agency-wide SES performance management system.)

4-4 Progress Review

While continuous feedback is encouraged, at least one progress review is to be conducted and documented by the rating official during the annual performance appraisal cycle (i.e., typically on/around midpoint – April 30). More than one progress review is encouraged in assessing all career executives serving probationary periods, and with post-probationers whose performance reflects a need for improvement. The format prescribed in the attached performance plan will be used to document progress reviews.

Actions Required in Completing the Progress Review

- ✓ The new SES performance management system is designed to promote ongoing communication between the executive and the rater, along with customers to facilitate performance excellence.

- ✓ The rater will conduct a formal progress review with the executive to discuss progress achieved in relation to the established performance elements and requirements, and performance-related feedback received.

- ✓ If deficiencies are noted, the rater will advise the executive of such and determine what training or other assistance is needed in support of improved performance with a goal of obtaining with an annual rating of Meets Expectations ("ME").

- ✓ The rater will discuss with the executive and document any changes to performance objectives, elements and/or performance requirements.

✓ Both the rater and executive will certify the Progress Review from the performance management plan, documenting the completion of the progress review.

4-5 Peer Feedback ("Balanced Measures")

To facilitate performance excellence, Secretarial Officers may choose to require that peer assessments or other forms of 360-Degree Feedback be conducted on executives in their organizations. This is a collaborative effort between the executive and his or her supervisor, which can be conducted any time during the appraisal cycle. The Department's established Peer Feedback system focuses on the attributes contained in Element II (Key Leadership Attributes) and seeks honest feedback relative to the executive's performance. The results are for performance improvement and employee development purposes only and will not be used in determining a performance rating.

After all the forms have been collected or electronically sent to a central location, the results (without the sender's names) should be consolidated, with copies given to the executive and the executive's supervisor.

4-6 Change in Position or Supervisor during the Appraisal Period

a. Reassignment or Transfer

(1) When an executive is reassigned and has been in the former position for the minimum 90-day appraisal period, the supervisor of the former position must prepare an interim initial rating.

(2) When an executive is reassigned or transferred to the Department, but will not have served in the new SES position for 90 days before the end of the annual appraisal period, the appraisal period for the appointee must be extended to permit him/her to perform on a performance plan for 90 days in the new position. Once the 90 day period is completed, an appraisal of his/her performance is to be conducted and an initial summary rating assigned and forwarded to the PRB for recommendation to the appointing authority for decision.

(3) If a reassignment or transfer is effected **more** than 90 days before the end of the appraisal period, the interim rating shall be forwarded to the executive's new rating official who must consider it and any other ratings received during the appraisal period in determining the initial summary rating at the end of the annual appraisal period.

b. Detail/Temporary Assignment

(1) When an executive is detained or "designated acting" in another established SES position in the Department for at least 120 days, the supervisor during the detail must set performance goals and develop a performance plan. At the end of the detail, the supervisor for the gaining organization must provide a written interim appraisal. The interim

appraisal shall be provided to the official supervisor of record who shall consider it in assigning the executive's initial summary rating at the end of the annual appraisal period.

(2) If detailed for more than 90 days to a position outside of the Department, the supervising official must make a reasonable effort to obtain appraisal information from the outside agency for consideration in assigning the executive's initial summary rating at the end of the performance appraisal cycle.

(3) If the executive serves on detail or temporary assignment for the entire appraisal period, the official supervisor of record continues to be the rating official and seeks performance input from the "detail" supervisor in establishing an initial summary rating for the executive.

c. Change in Rating Official

A rating official assigned for less than the 90-day minimum appraisal period prior to the end of the annual appraisal period may choose one of the following options for assigning initial summary ratings for the executives who have worked the minimum 90-day period under established performance plans:

(1) Assign an initial summary rating; **or**

(2) Adopt the interim summary rating prepared by the former rating official as the initial summary rating and forward it for higher level review; **or**

(3) Request that the higher level reviewing official assume the role of the rating official.

d. Deferred Rating

The annual SES performance appraisal cycle is from October 1 to September 30. Rating officials are responsible for establishing a performance plan for each of their on-board senior executives within 30 days of the beginning of the appraisal cycle. Further, rating officials are responsible for establishing performance plans for subordinate senior executives assigned to them through new appointments, reassignments, transfers, or details over 120 days which are effected anytime during the annual appraisal period up to 90 days prior to the cycle end (i.e., typically by July 2), along with conducting a progress review, and providing an initial summary rating for consideration by the Department's PRB and annual summary rating determination by the Secretary or his/her designee.

CHAPTER 5 – PERFORMANCE APPRAISAL AND RATINGS

5-1 Determining the Initial Summary Rating

The minimum SES appraisal period is 90 calendar days. The annual appraisal period is October 1 through September 30 of the following year, which coincides with the fiscal year (FY).

At the end of the appraisal period, the rating official will assess the performance of the executive based on comparison of the employee's performance with the criteria outlines in the performance management plan and performance feedback received from customers, peers, etc. throughout the appraisal period.

A statement of written accomplishments, not to exceed the space allowed on the performance appraisal form, is a requirement for all executives being rated and must be submitted to the rating official prior to the initial summary rating being documented by the supervisor. The written statement of accomplishments should address results achieved in terms of key performance objectives and leadership attributes related to the critical elements.

The SES summary rating levels for performance evaluation are:

Department's Rating Levels	5 CFR Equivalent
Outstanding (O)	Outstanding
Meets Expectations (ME)	Fully Successful
Minimally Satisfactory (MS)	Minimally Satisfactory
Fails to Meet (U)	Unsatisfactory

Actions Required for Evaluating Annual Performance

- ✓ Annual performance evaluations are required to be completed within three weeks of the end of the SES rating cycle (i.e., by October 20)
- ✓ The rater will review the executive's performance plan starting at Element I (Key Programmatic Accomplishments) and assess each objective, taking into consideration the executive's performance in line with his/her written accomplishments, personal observations, customer feedback, and other information received.
- ✓ Refer to section 6, establishing expectations, of the rating page of the performance plan and assign a numeric rating for each objective. All objectives rated below the Meets Expectations level must be justified.
- ✓ After assessing Element I, assign a numerical rating for each objective:
- ✓ Multiply weight X rating points for each objective. Document the resultant rating for Element I at the space provided on page 2, section 6b of the performance appraisal form.
- ✓ Continue to Element II Key Leadership Attributes (Executive Core Qualifications ECQs).
- ✓ In assessing performance related to each attribute for Element II, refer to the respective section on page 2, section 6b in the performance plan. Document your recommendations for each on the initial rating section of the performance appraisal. After assessing each attribute, assign a numerical rating for each objective.
- ✓ The rating official documents his/her summary numerical rating at the space provided in the total point value column, inserts the total point value and the overall rating and signs the front page of the performance appraisal. Based on chart below (from instructions).

Rating Levels/Point Values	Summary Rating Scale
Outstanding (O) = 5 pts	475-500 = Outstanding (O)
Meets Expectations (ME) = 3-4 pts	300-474 = Meets Expectations (ME)
Minimally Satisfactory (MS) = 2 pts	200 – 299 = Minimally Satisfactory (MS)
Fails to Meet (U) = U rating	Below 200 = Fails to Meet (U)

5-2 Higher Level Review

a. All SES initial ratings will be reviewed by an official in the organization who is at a higher level than the rater. The only exception is ratings conducted by the agency's appointing authority (i.e., the Secretary).

b. In all other instances, DOE rating officials shall meet with the higher level reviewer to discuss his/her rating determinations before documenting each executive's performance plan or discussing with the executive.

c. Once documented, the higher-level rating official may concur or non-concur with the rating official's recommendation by checking the box at the space provided on the signatory page of the performance plan; however, he or she is prohibited from changing the initial summary rating. In instances of nonoccurrence, the higher-level reviewing official is required to provide a written justification supporting his or her determination. This information is documented in the SES performance plan and becomes part of the official SES performance appraisal for submission to the Performance Review Board.

d. As desired, recommendations for annual performance recognition (i.e., bonuses and performance-based pay adjustments) may also be reviewed by the higher level official to ensure equity and fairness of the proposed award in comparison to achievements of other executives in the organization.

5-3 Finalizing the Initial Summary Rating

a. Following higher level review, the rating official shall meet with the executive to:

(1) Provide a copy of the appraisal from including any accompanying recommendations.

(2) Discuss the initial summary rating; additional feedback received from customers, employees, etc.; and as applicable, any deficiencies which require additional training and/or development of a Performance Improvement Plan (PIP) which clearly outlines deficient areas in accordance with established performance plan, requirements for expected "Meets Expectations" performance, and timeliness for regular meetings to assess progress and completion of specified tasks.

(3) Provide guidance and counseling as appropriate.

(4) Solicit feedback.

b. The rating official must document the initial summary rating, sign, and date the performance appraisal form. The executive will sign in the appropriate space which indicates that the initial summary rating has been reviewed and discussed with the rating official. Refusal by the executive to sign the appraisal form must be annotated.

c. Any comments shall be retained with the appraisal form and forwarded for consideration in al subsequent phases of the performance review process.

d. Discuss, as desired upon conclusion of the meeting, performance objectives and expectations for the following performance appraisal cycle.

5-4 Finalizing the Annual Summary Rating

a. Within statutory limitations, regulatory guidelines, and Department policy, the appointing authority, after considering recommendations from the PRB and any submitted comments shall finalize performance ratings for all SES members in the Department (excluding the Federal Energy Regulatory Commission (FERC)).

b. Initial summary ratings become final after approval by the appointing authority.

CHAPTER 6 – PERFORMANCE AWARD (BONUS)

6-1 Eligibility

To be eligible for a bonus, an executive must have been on a performance plan for 90 days or more and rated at least "Meets Expectations." Eligible executives include:

a. Current SES career appointees; **or**

b. Former SES career appointees who hold a Presidential appointment with Senate confirmation who have elected to retain bonus eligibility under 5 U.S.C. 3392(c).

6-2 Bonus Criteria

a. Bonus recognition will be reserved for truly top performers. Secretarial Officers may nominate their career executives for bonuses based, at a minimum, on the following:

(1) An initial summary rating of at least "Meets Expectations." Permissible bonus recommendations follow:

Bonuses for executives rated ME:	5% up to 9% (discretionary)
Bonuses for executives rated O:	5% up to 20% (mandatory)

c. At the discretion of the Secretary/designee, the above bonus criteria may be supplemented to reflect additional criteria as appropriate.

d. By law, bonus awards may not be less than 5 percent nor more than 20 percent of an executive's basic pay at the end of the annual appraisal period. (Locality pay

interim geographic adjustments, and special law enforcement adjustments are not considered part of basic pay when calculating performance bonuses, 5 CFR 534.405 (4) (c)).

6-3 Bonus Pools

a. There will be one Departmental bonus pool (up to 10% of the career SES base salaries as of September 30) for bonus determination as established by the Secretary/designee. The NNSA Administrator, through delegated approval, may recommend to the Secretary/designee a percentage of the Departmental bonus pool to be used in recognition of NNSA career executives.

b. A decision on the Department's bonus pool percentage will be made annually by the Secretary or his/her designee, following the end of the SES appraisal cycle.

6-4 Restrictions on Pay Bonuses with Other Incentive Awards

a. A career SES appointee may receive a Presidential Rank Award (Distinguished or Meritorious Executive) and a performance bonus award in the same calendar year. However, under 5 CFR 534.405 executives are subject to the aggregate compensation limitations in 5 CFR 530, Subpart B.

b. Superior accomplishment awards shall not be made to supplement or substitute for an SES bonus.

CHAPTER 7 – PERFORMANCE BASED PAY ADJUSTMENTS

7-1 Raising Pay

a. Within the parameters of the Department's established SES Pay Policy, dated September 30, 2005, performance-based pay adjustment nominations may be recommended in recognition of annual performance for all SES members.

b. Factored into the process are considerations such as performance history and current performance, official duties and responsibilities, unique qualifications required of the executive, scarcity of qualified personnel, and organizational level of the executive's position. Permissible pay rate increase nominations are normally up to 5% based on rating, to the maximum pay rate prescribed in the Department's SES Pay Policy.

7-2 Requirements

An executive's rate of basic pay may not be adjusted more than once in any 12-month period. A new 12-month waiting period begins upon:

a. Initial establishment of a pay rate for a new SES appointee; or

b. Transfer to a new agency only if the executive's rate of pay is changed at the time of transfer. Otherwise, the 12-month waiting period begins at the time of the last pay adjustment in the losing agency.

c. All nominations for performance-based pay adjustments are to be endorsed by the Secretarial Officer for the organization to which the executive is assigned, and forwarded to the Executive Resources Management Division for consideration by the PRB and approval by the appointing authority/designee.

7-3 **Lowering Pay:** Recommendations for lowering pay based on performance deficiencies shall be limited to executives rated at the "Minimally Satisfactory" or "Unsatisfactory" levels who are to be retained in the Senior Executive Service. Under 5 CFR 534.401, pay may be reduced by not more than 10% for performance.

CHAPTER 8 – OTHER INDIVIDUAL OR GROUP RECOGNITION

8-1 A Special Act or Service Award, Time-Off Award, or honorary award may be granted to an SES member in recognition of his/her accomplishments in leading or substantially participating in a tone-time, nonrecurring assignment/project or major value to the Department. In line with Departmental policy, monetary awards up to $7,500 may be approved by the respective Secretarial Officers for SES members anytime during the annual rating cycle*. However, duplicate recognition through a monetary award and a bonus for the same assignment/project is not permissible. The Secretary of Energy/designee may grant individual monetary awards up to $10,000. Individual monetary awards exceeding $10,000, but less than $25,000, must be concurred on by the Secretary of Energy and approved by the Office of Personnel Management (OPM).

All SES award nominations are to be forwarded through the organizational chain to the Secretarial Officer for approval (e.g., NNSA headquarters and reporting field offices to the Administrator, NNSA), followed by submission to the Executive Resources Management Division for regulatory review prior to effecting the action.

(*Note: During Presidential election periods (June 1 of a Presidential election year through January 20 of the following year), noncareer SES employees (including Limited-Term and Limited Emergency) are not eligible for cash or time-off awards by law.)

CHAPTER 9 – PERFORMANCE REVIEW BOARD (PRB)

9-1 Purpose

The Department's Performance Review Board (PRB) will assess each organization's annual SES performance rating recommendations as well as other related recommendations as requested by the Secretary/designee.

9-2 PRB Membership Eligibility

Federal members shall meet the following criteria:

(1) Occupy a Senior Executive Service or comparable position on a career or noncareer appointment;

(2) Be eligible to be rated as a senior executive for the current performance cycle;

(3) Have a current rating of at least "Meets Expectations" "Fully Successful" or the equivalent under another agency's performance system;

(4) Possess knowledge of the Department's performance management system through training or experience.

9-3 PRB Membership

a. The PRB will consist of three or more members, including a chair, who are appointed by the Secretary/designee. At the discretion of the Secretary/designee, the PRB membership and its role in the SES performance management system may be reconstructed/reconstituted to facilitate executive performance excellence.

b. Members shall be appointed in a manner to assure consistency, equity, stability, and objectivity in SES performance appraisal. To achieve this objective, members may be selected from within the Department, other Federal agencies and non-Federal individuals (who must be appointed as experts or consultants). Special efforts shall be made to assure that minorities, females, and persons with disabilities are represented on the PRB. At least half of the PRB membership will consist of career SES members.

9-4 PRB Subcommittee Procedures

a. Annually, the incumbent PRB Chair will select Subcommittee members from the nominations submitted by Secretarial officers. The majority of PRB Subcommittee members shall be career when reviewing performance recommendations for career executives. The names of all potential PRB members will be published in the Federal Register before any PRB Subcommittees are convened.

b. Each PRB Subcommittee shall have three or more members including a Chair and be responsible for:

(1) Assuring equity and consistency by providing an objective review and recommending alternatives when proposed ratings, bonuses and pay adjustments are not supportable. No member shall review or participate in deliberation for his/her own appraisal documentation or that of any other executive in his/her organization (including headquarters or field installations).

(2) Conducting further review as it finds necessary.

(3) Providing written recommendations for each performance proposal reviewed.

(4) Eliminating "inflated ratings" by ensuring that ratings do not exceed the actual level of performance when compared to the performance expectations.

(5) Providing feedback to help improve and strengthen the SES performance management process.

9-5 Recommendations to the Appointing Authority (or Designee)

(1) Following the annual review of all submitted documentation, the PRB shall provide written recommendations to the appointing authority/designee concerning each executive's proposed performance recommendation. Final decisions shall be provided to organizations for distribution to their executives.

(2) Written recommendations concerning the appraisal process, as applicable, will be provided to the appointing authority/designee.

CHAPTER 10- PERFORMANCE BASED PERSONNEL ACTIONS

10-1 Required Actions

a. The success or failure of the SES in providing effective management for agencies and programs depends on retaining only the highest caliber managers in the SES. Therefore, the final rating, and the appraisal information upon which it is based, shall be used as a basis for taking actions in the following situations as required by 5 U.S.C. 4314(b):

(1) Reassignment or transfer to another position within the SES or removal from the SES, for one "Unsatisfactory" rating.

(2) Removal from the SES for two "Unsatisfactory" ratings in a 5-year period.

(3) Removal from the SES for two ratings below the "Meets Expectations," level (i.e., unsatisfactory or minimally satisfactory) in a 3-year period.

b. If the final rating is below the "Meets Expectations" level, and the executive is retained in the SES, the executive must be:

(1) Provided with the assistance required to achieve performance at the "Meets Expectations" level, including but not restricted to, formal or on the-job-training, counseling, closer supervision, mentorship and/or development of a Performance Improvement Plan (PIP); and

(2) Advised of the effect of any personnel action being taken and the effect of another less than "Meets Expectations" rating.

c. The Secretarial Officer will request approval of the appointing authority, through the Executive Resources Management Division, for a reassignment or removal action.

d. The Performance based removal actions will be effective under 5 CFR Part 359, Subpart D (Probationers) or Subpart E (Post Probationers).

10-2 Removal of Probationers for Unacceptable Performance

a. First time career SES appointees are required to serve a one calendar year probationary period. During this period, rating officials are required to observe and evaluate the appointee's performance of assigned duties and responsibilities in line with requirements outlined in the appointee's performance plan.

b. If it is found that the probationer is not meeting the leadership or professional/technical requirements of his/her assigned position, the supervisor/rating official should consider whether remedial action (such as specialized training or assignment to other SES duties) or removal action is appropriate.

c. The removal of a probationer for unacceptable performance does not require that a formal rating of unsatisfactory under the SES appraisal system be assigned. However, if a formal "Fails to Meet" (i.e., unsatisfactory), or, in rare cases, a Minimally Satisfactory" rating of record was given to the probationer, it can be used as the basis for the removal action. Further, the granting of a formal rating of "Meets Expectations" followed by unacceptable performance later during the probationary period does not preclude removal action of the probationer. In such instances, a new formal rating is not required.

d. Removal Notice Requirements

A written notice issued by the Secretarial Officer for the assigned organization must be given to the probationer at least 1-day before the effective date of the removal. The following provisions must be included in the notice:

(1) a statement of the agency's conclusions as to the inadequacies of the probationer's performance;

(2) a statement as to whether the probationer has placement rights to another position outside the SES and if so, the identification of the position to which the individual will be reassigned; and

(3) the effective date of the action.

e. 120-Day Moratorium

The removal of a probationer for performance reasons is subject to regulatory provisions on 120-day moratorium on certain removals, except as follows:

(1) if the removal is based on a formal unsatisfactory performance rating given before the appointment of the new agency head or noncareer supervisor which initiated the moratorium, or

(2) the probationer against whom the Secretarial Officer is contemplating removal action completes the probationary period during the moratorium. As the moratorium does not extend the probationary period, a subsequent removal action for performance could not be processed as a probationary

removal under 5 CFR 359, Subpart D, but would be taken under 5 CFR 359, Subpart E (removal of post-probationary executive).

CHAPTER 11 – APPEALS

11-1 Guidance and Procedures

a. The removal of an executive for performance reasons is not appeal able to the Merit Systems Protection Board (MSPB) and under 5 USC 7701. However, a career appointee, upon request, shall be granted an informal hearing before an official designated by the MSPB at least 15 days before the effective date of the removal. The appointee and/or a representative may appear and present arguments.

b. MSPB lacks authority to change a performance rating or to order a specific remedy, such as reinstatement to the SES, as a result of the hearing. It can, however, comment on the executive's arguments and recommend appropriate action if a serious defect in the personnel action is manifest, such as misapplication of relevant statutory provisions.

c. SES career appointee who believes that any aspect of the rating process has been violated may submit an allegation of prohibited personnel practice to the Office of Special Counsel.

CHAPTER 12 – GUARANTEED PLACEMENT OUTSIDE OF THE SES

12-1 Guidance and Procedures

a. Guaranteed placement ("fallback") applies to career SES appointees (i.e., probationers and post-probationers) who at the time of appointment to the SES held a career or career conditional appointment, or an appointment of equivalent tenure, and who are removed from the SES for performance reasons.

b. The Secretarial Officer who requested the removal action is responsible for arranging placement.

c. An executive must be placed in a civil service position, other than SES, which is:

(1) At grade 15 or above, or equivalent, even if the executive entered the SES from a position below the grade 15 level.

(2) A continuing position that will last at least three (3) months;

(3) A position for which the executive meets the qualification requirements.

(4) Equivalent in tenure to the appointment held by the executive at the time of entry into the SES, if it was a career or career-conditional appointment or an appointment of equivalent tenure.

d. The placement of an executive for reasons of unacceptable performance shall not cause the separation or reduction in grade of any other employee. If there is not current vacant position for which the executive qualifies, the Department must create one.

e. In the rare event that internal placement is not possible, the Department may arrange a transfer to an appropriate position in another agency. Except when a transfer of function is involved, the transfer must be mutually acceptable to the executive and the gaining agency.

f. An executive may elect discontinued service retirement if eligible in lieu of fallback.

CHAPTER 13 – SAVED PAY

13-1 Determining the Rate of Saved Pay

An executive placed in a non-Senior Executive Service position for reasons of unacceptable performance is entitled to be paid at the highest of:

(1) The rate of basic pay for the non-Senior Executive Service position to which assigned,

(2) The current rate of basic pay for civil service position held immediately before entry into the Senior Executive Service, or

(3) The rate of basic pay held in the Senior Executive Service immediately before removal.

CHAPTER 14- PERFORMANCE RECORDS

14-1 Maintenance Requirements

a. The Employee Performance File shall consist of an executive's performance plan, performance appraisals and comments concerning the rating. In accordance with 5 CFR 293, Subpart D, these files are maintained in the Executive Resources Management Division for Headquarters employees and in the executive's respective Servicing Personnel Office for the National Nuclear Security Administration and the Field employees.

b. Performance award recommendations, and any other supporting documentation concerning deliberations of the PRB and/or the appointing authority concerning these awards, are maintained in a separate annual Performance Review Board File.

c. The Employee Performance File and the annual Performance Review Board File constitutes the SES Performance Record System.

d. Records maintained in the SES Performance Record System shall be retained for five (5) consecutive years from the date of the final rating for each executive.

e. Employee Performance Files for employees transferring to other Federal agencies will be forwarded along with the Official Personnel File (OPF).

f. Employee Performance Files for separate executives will be retained for at least 30 work days after separation, unless otherwise specified. Thereafter, the Employee Performance File will be transferred to the General Services Administration, Personnel Records Center.

g. Official performance records are covered under the provisions of the Privacy Act System and shall be safeguarded and the disclosure of contents restricted as provided in 5 CFR 297.

APPENDIX I

FREQUENTLY ASKED QUESTIONS

U.S. Department of Energy
Senior Executive Service Performance Management System

FREQUENTLY ASKED QUESTIONS

What? Why? When? Who? How?

Q. What is the premise of the new performance management system?

A. The new performance management system places emphasis on direct and clear linkages between organizational mission programs and individuals executive performance plans for both career and non-career executives. The new system is designed to improve performance planning, to facilitate continuous monitoring and feedback in meeting desired results, and to provide more meaningful rewards and recognition for clearly exemplary performance.

Q. What does the new performance plan consist of and who prepares the plan?

A. The performance plan consists of two weighted critical elements: (1) Key Programmatic Accomplishments (60%), and (2) Key Leadership Attributes (40%). The plan is crafted in collaboration by the senior executive and his/her manager. The key programmatic objectives must be closely linked to the organization's mission and be operationalized in terms of expected outcomes/results, time frames, final products and services, etc. The plan should be completed and signed by both the executive and his/her supervisor.

Q. What are the "Key Leadership Attributes" and how will they be used?

A. This critical element focuses on "how" the executive performs his/her responsibilities relative to highly desirable leadership attributes that are expected of all Department senior executives. Each executive will be assessed against the 5 pre-defined leadership attributes described below:

(1) Leading Change
(2) Leading People
(3) Results Driven
(4) Business Acumen
(5) Building Coalitions

Q. When does the official appraisal rating cycle begin and end?

A. The official (annual) appraisal period is October 1 through September 30 of the following year (coincides with the fiscal year).

Q. What is the <u>minimum</u> SES appraisal period?

A. The minimum appraisal period is 90 days.

Q. What are the rating levels for the new performance plan?

A. There are four rating levels:

- Outstanding (O)
- Meets Expectations (ME)
- Minimally Satisfactory (MS)
- Fails to Meet (U)

Q. Who serves as my rating official?

A. The executive's first-level manager.

Q. How many progress reviews are required under the new system?

A. While continuous feedback is encouraged, at least one progress review is to be conducted and documented by the rating official during the annual performance appraisal cycle (i.e., typically at midpoint: April 30). More than one progress review is encouraged in assessing all career executives serving probationary periods and with post-probationers whose performance reflects a need for improvement.

Q. When will performance evaluations take place?

A. Annual performance evaluations are required to be completed within three weeks at the end of the SES rating cycle (no later than October 20).

Q. What information must I provide my supervisor at the end of the appraisal period?

A. Each executive must provide their supervisor a statement of written accomplishments, not to exceed the half page on the performance appraisal. Your accomplishments should be submitted at the end of the rating cycle (i.e., September 30). Your written statement should address results achieved in terms of key performance objectives and leadership attributes related to the two critical elements.

Q. How does my supervisor assess my overall performance?

A. The rater (your immediate supervisor) will review your performance plan starting at Element I (Key Programmatic Accomplishments) and assess each objective, taking into consideration your performance in line with your written accomplishments, personal observations, customer feedback, and other information received.

Q. I understand that my overall rating is based on the two weighted critical elements "Programmatic Accomplishments" and "Key Leadership Attributes." How is my overall rating actually calculated?

A. After assessing critical Elements I and II and documenting a rating of each objective and attribute, your manager assigns an overall rating for Element I and II in accordance with the following criteria:

Initial Summary Rating:
Based on your supervisor's assessments of the two critical elements above, your initial summary rating is based on the following:

- Outstanding (O): Both critical elements combined equal 475 – 500 points.
- Meets Expectations (ME): Both critical elements combined equal 300 – 474 points.
- Minimally Satisfactory (MS): Both critical elements combined equal 200 – 299 points.
- Fails to Meet (U): Both critical elements combined equal below 200 points.

Your manager then officially documents his/her initial summary rating on the Annual Summary and Signatory Approvals page of the performance plan, signs, and forwards to a higher-level reviewing official (i.e., 2nd level supervisor) for review and concurrence or non-concurrence.

Q. What are the eligibility requirements for SES bonuses?

A. Only career SES employees are eligible for bonuses. Requirements for bonus consideration include a minimum initial rating of "Meets Expectations" and clearly documented significant achievements/measurable results. In line with Departmental policy, nomination for bonuses of executives with summary ratings of "Meets Expectations" is discretionary. Bonus recognition for executives rated "Outstanding" is mandatory, receive bonuses between 5% up to 20%. Bonuses are typically recommended up through the organizational chain from the first-level manager to the Secretarial Officer/equivalent, reviewed by the Performance Review Board, and approved by the Secretary.

Q. How are Pay Adjustments determined?

A. Performance-based pay adjustment nominations may be recommended in recognition of annual performance for career and non-career SES employees. Factored into the process are considerations such as performance history and current performance, official duties and responsibilities, unique qualifications required of the executive, scarcity of qualified personnel, and organizational level of the executive's position. Permissible pay rate increase nominations are normally between 1% and up to 7%, to the maximum pay level described in Departmental SES pay policy. Your immediate supervisor documents the SES performance appraisal in the appropriate space and submits the appraisal for PRB review and approval by the Secretary.

Q. Who can I call if I have questions on the new performance management system?

A. You can call or email Leatrice Lee (202) 586-6809 (Leatrice.Lee@HQ.DOE.GOV) or Selina Swales (202) 586-7975 (Selina.Swales@HQ.DOE.GOV) of the Executive Resources Services Division, HC-31.

APPENDIX II

REFERENCES

1. CFR 430.301 through 430.312, Subpart C, Managing Senior Executive Performance (Authority: 5 U.S.C. chapter 43), effective November 13, 2000.

2. 5 CFR 534, Subpart D (Regulation-Pay and Performance Awards)

3. 5 U.S. Code 3393 (Law-Senior Executive Service (SES) Career Appointments, and Probationary Period of SES Members)

4. 5 U.S. Code 3591 through 3594 (Law-Removal, Reinstatement, Guaranteed Placement in the SES and Saved Pay).

5. 5 U.S. Code 4311 through 4315 (Law-Performance Appraisal in the SES).

6. 5 U.S. Code 5381 and 5385 (Law-Pay and Performance Awards for the SES).

7. 5 CFR 293 and 297 (Regulation-Performance Files).

8. 5 CFR 317 (Regulation-Appointment, Reassignment, Transfer and Reinstatement in the SES).

9. 5 CFR 359.401 through 359.705 (Regulation-Removal and Guaranteed Placement in the SES).

APPENDIX III

DEFINITIONS

a. **Annual Summary Rating.** The overall rating level that the appointing authority assigns at the end of the appraisal period after considering recommendations of the Performance Review Board. This is also known as the official rating.

b. **Appointing Authority.** The Secretary or other official with authority to make appointments in the Senior Executive Service.

c. **Appraisal .** The act or process of reviewing and evaluating the performance of the executive against the described performance expectations. Appraisal is a total and continuing process.

d. **Appraisal Period.** The established time frame in which the senior executive's performance will be appraised and rated.

e. **Balanced Measures.** An approach to performance measurement that balances organizational results with the perspectives of distinct groups, including customers and employees.

f. **Career Appointee.** An executive whose most recent appointment to the Senior Executive Service (SES) was effected based on: (1) competition and approval of the executive's leadership qualifications by the Qualifications Review Board (QRB); (2) noncompetitive career conversion as a charter member of the SES or (3) career reinstatement into the SES because of previous career SES service.

g. **Critical Element.** A key component of an executive's work that contributes to accomplishing organizational goals and results and is of such importance that unacceptable performance of the element would result in overall unsatisfactory job performance.

h. **Executive.** A member of the SES who may also be referred to in this plan as an appointee or a member.

i. **Higher Level Reviewing Official.** An official in a higher organizational level than the rating official, responsible to review performance ratings proposed by the rating official.

j. **Initial Summary Rating.** The overall rating assigned an executive for a specific period of time based on summary ratings assigned for each performance area. The initial summary rating of recommended by the rating official, reviewed by a reviewing official, and provided to the Performance Review Board for assessment.

k. **Interim Rating.** An initial summary rating assigned after 90 days but before the end of the annual appraisal period that has not been reviewed by a Performance Review Board.

l. **Pay Adjustment.** The upward or downward adjustment of an executive's annual rate of basic pay to one of the rates of basic pay established for the SES.

m. **Performance.** The executive's actual accomplishment of assigned work as specified in the executive's performance plan.

n. **Performance Award (Bonus).** A one time, lump-sum cash payment awarded to a career SES member in recognition of excellence achieved normally over an annual performance appraisal period.

o. **Performance Management System.** The framework of policies and practices that an agency establishes in accordance with applicable statute and regulation for planning, monitoring, developing, evaluating, and rewarding both individual and organizational performance and for using resulting performance in personnel decisions.

p. **Performance Plan.** The written summary of work that the senior executive is expected to accomplish during the appraisal period and the requirements against which performance will be evaluated. The plan addresses all critical elements established for the senior executive.

q. **Performance Requirement.** A statement of the performance expected for a critical element.

r. **Progress Review.** A review of the executive's progress toward achieving the performance requirements outlined in the executive's performance plan. This review and discussion should normally occur about midway through the performance appraisal period.

s. **Rating Official.** The initial rater of the executive's performance, generally the executive's immediate supervisor.

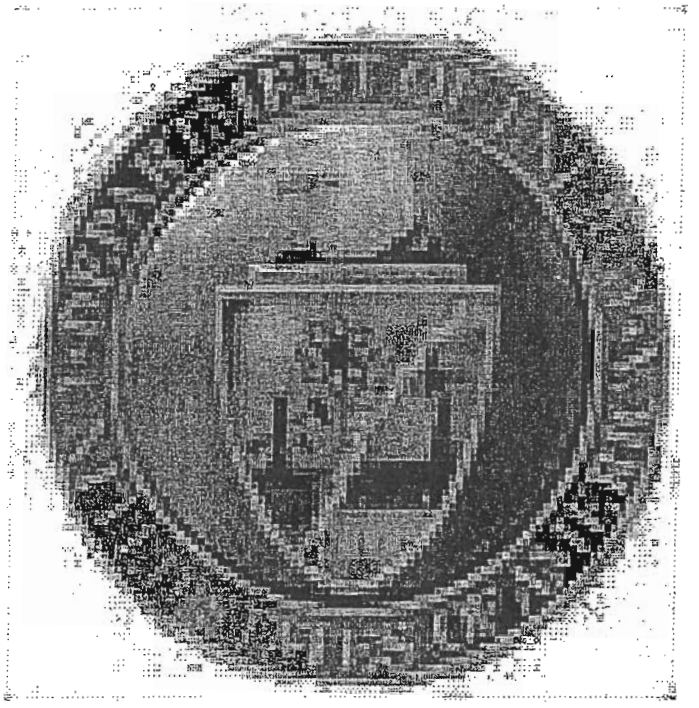
t. **Secretarial Officer.** An Assistant Secretary or comparable Head of a Departmental Element reporting directly to the Secretary, Deputy Secretary or Under Secretary.

u. **Summary Rating.** The rating assigned to each performance area included in an executive's performance plan. Summary ratings assigned to performance areas that are used in determining the recommended initial rating.

APPENDIX IV

PERFORMANCE APPRAISAL FORM
(with instructions)

Department of Energy
Senior Executive Service
Performance Plan and Appraisal Form
Instructions



The Department of Energy (DOE) SES Performance Management System encourages excellence in performance, facilitates the systematic and accurate evaluation of performance based on performance results, and provides a basis for pay, awards, development, retention, removal, and other personnel decisions. The system promotes the achievement of the Agency's goals and a commitment to DOE's Vision and the five strategic themes: Energy Security; Nuclear Security; Scientific Discovery and Innovation; Environmental Responsibility; and Management Excellence, while placing the highest importance on protecting the health and safety of DOE workers and the public. The system focuses on improved communication and goal clarity and provides for participative performance planning and developing individual and organizational goals and performance requirements that are linked to the DOE Strategic Plan. Active participation of the senior executive with the supervisor in the total performance appraisal process is critical to the overall system effectiveness.

Department of Energy
Senior Executive Service Performance Planning and Appraisal
Instructions

Page 1 of Appraisal Form

SECTION 1, Blocks 1a thru 1e
Name, Title, Organization, Duty Station: complete administrative information on SES employee.

1f. Appraisal Type: check appropriate type
- ☐ Annual
- ☐ Advisory

1g. SES Appointment Type: check appropriate type
- ☐ Career
- ☐ Noncareer
- ☐ Limited Term
- ☐ Limited Emergency

SECTION 2 - PERFORMANCE PLAN DEVELOPMENT: Complete Block 6a, Element I on page 2, identifying 3-5 key objectives, DOE Strategic Plan or organizational goal linkage, and desired weights. Indicate weights for five ECQs under Block 6b, Element II. See page 3 of this guide for further instructions.

The signatures of the executive and rating official are required to acknowledge joint development and understanding of the performance elements and requirements from page 2.

SECTION 3 – PROGRESS REVIEW: At a minimum, one progress review session between the executive and rating official must be conducted. Check appropriate boxes under 3a. The rating official must indicate if customer feedback was considered in the review. Also indicate expected rating level. Executive and Rating Official sign and date.

SECTION 4 – ANNUAL PERFORMANCE RATING:
Summary Rating: Complete 6c, INITIAL RATING, section on page 2. See page 3 of this guide for further instructions. On page 1, complete appropriate block in 4a based on scores in Initial Rating section at the bottom of page 2. The rating official signs and dates in blocks 4b and 4d; followed by the higher level reviewing official's signature and date in blocks 4e and 4g.

Executive's Acknowledgement of Appraisal: The SES employee signs and dates in blocks 4h and 4j. This acknowledges receipt and discussion, but does not imply agreement. The employee should check "Comments" block 4k and attach comments when disagreeing with the rating.

Rating Official Recommendations: Blocks 4l and 4m indicate pay and or bonus recommendations based on application of scoring matrix.

Performance Review Board (PRB) Recommendations: Indicates PRB recommendations. PRB Chair signs and dates after completion of PRB meetings.

SECTION 5 – FINAL DETERMINATION: Secretary of Energy or designee signs and appraisal decisions become final.

Page 2 of Appraisal Form

SECTION 6 – ESTABLISHING EXPECTATIONS

At the beginning of the rating cycle, the supervisor, in consultation with the senior executive, describes expectations for the appraisal period and documents them in the space provided on page 2. Each plan will include Element I, elements specific to the position; and Element II, ECQs. Performance Requirements are to be written at the "Meets Expectations" level.

6a. Element I – Key Programmatic Accomplishments – 60 points

The supervisor, in discussion with the executive, describes 3-5 key performance requirements with metrics, that the Executive must accomplish in order for the Agency to achieve the Strategic Plan goals or organizational goals. Performance requirements should be described in terms of specific expected result(s), in terms of clear, credible measures (e.g., quality, quantity, timeliness and/or cost-effectiveness) of performance and not be described as activities. They should be Specific, Measurable, Aggressive yet Achievable, Results oriented and Time based (SMART). The points for Element I must total 60.

6b. Element II – Key Leadership Attributes (Executive Core Qualifications (ECQs)) – 40 points

The ECQs comprise Element II of all DOE SES performance plans and are standard across the Department. The supervisor, in discussion with the executive, may assign weights to each EQC based on relative importance to the specific position; the points for Element II must total 40. The rating is based on the full scope of the ECQs. See pages 5-7 of this guide for complete descriptions.

6c. INITIAL RATING

Assessing Performance - At the end of the appraisal period, the immediate supervisor and the senior executive discuss the actual individual and organization achievements during the appraisal period. Performance is assessed by the supervisor based on individual and organizational performance taking into account such factors as DOE Strategic Plan or organizational goals achieved; the effectiveness, productivity, and performance of assigned employees; meeting safety and diversity goals, and complying with merit system principles. Customer, employee, and other stakeholder perspectives must be considered in this assessment. Established weights multiplied by rating point values equals total point value. Final rating is determined by adding the points values and converting to Overall Rating using the Summary Rating Scale chart on Page 2 of the form. See Additional Information and Instructions (page 4) for rating level definitions, and pay adjustment and bonus criteria.

Page 3 of Appraisal Form

6d. Performance Assessment Narrative

Executive and Rating Official complete designated blocks with clear, concise documentation of accomplishments for both Elements. **Rating Official input is mandatory. NOTE: Text is limited to the space provide and CANNOT be smaller than 10-point Times Roman font.**

Additional Information and Instructions

INITIAL RATING - Rating Level Definitions and Point Values	
Element Rating Level Definitions	**Assigned Point Values**
Outstanding (O): Exceptional results. Far exceeds performance expectations as evidenced by exceptional accomplishments or contributions to the mission. Clearly a model executive who sets an example for others. (reserved for top performers)	5
Meets Expectations (ME): Point Value of 4 = Consistently meets all performance requirements with some aspects exceeding what is expected, resulting in unexpected outcomes; a solid performer. Point Value of 3 = Fully meets the attainment of the performance effectiveness measures.	3 or 4
Minimally Satisfactory (MS): Occasionally does not meet performance requirements or performance that partially meets or demonstrates some progress toward the attainment of the performance effectiveness measures.	2
Fails to Meet (U): Fails to meet the performance requirements for any element in the performance plan. Regularly does not follow through with meeting performance requirements. Performance is below an acceptable standard and corrective action is required.	Summary rating of Fails to Meet

Summary Rating Scale:
475 – 500 = Outstanding
300 – 474 = Meets Expectations
200 – 299 = Minimally Satisfactory
Below 200 = Fails to Meet

Pay Adjustment and Bonus Criteria:
475 - 500 (Outstanding) = **Mandatory** bonus; eligible for pay adjustment
424 - 474 (High Meets) = Eligible for bonus **and/or** pay adjustment
351 - 423 (Average Meets) = Eligible for bonus **or** pay adjustment, **but not both**
300 - 350 (Low Meets) = Eligible for pay adjustment **only**
200 - 299 (Minimally Satisfactory) = Not eligible for bonus or pay adjustment
Below 200 (Fails to Meet) = Not eligible for bonus or pay adjustment

Additional note: Employees with less than six months as an SES in DOE are eligible for a bonus only and **are not** eligible for a pay adjustment.

ECQ Definitions

1. Leading Change. Performance Requirements:

• Uses employee feedback to assess the level of understanding of change and needed responses within the organization.
• Uses customer feedback to understand changing needs and conditions and to improve programs.
• The impact of changing national priorities on the DOE's Mission, strategic goals and objectives, performance requirements, programs, and projects is clearly articulated as a vision for the organization and effectively communicated to capture the commitment of the workforce.
• To achieve the vision, strategies are developed to redefine programs and projects and associated performance requirements and outcomes as needed.
• The implementation of the resulting changes to the organization and workforce are accomplished with minimal disruption.
• Risk taking, creative thinking, and innovation to identify new work processes to meet performance requirements and to effect change are supported and encouraged.

2. Leading People. Performance Requirements:

• An inclusive work environment exists where employees are valued and respected for their individual and cultural differences, treat one another fairly and with respect, and their talents are utilized, regardless of background.
• Effectively communicates DOE's mission, core values, and strategic goals to employees and engages them in development of objectives contributing to those goals. Takes into account employee perspectives and encourages them to develop creative and effective ways to successfully accomplish the organization's mission.
• Employee feedback reflects an understanding of supervisory and management direction, constructive feedback, developmental opportunities, and recognition received.
• Cooperation, collaboration, and teamwork across DOE are actively promoted in the accomplishment of the targeted performance requirements and outcomes.
• The work environment encourages the open and honest exchange of information and the expression of ideas, diverse opinions, and dissenting views while presenting one voice to the public.
• Conflicts are resolved in a positive and constructive manner.
• A work environment exists that recognizes and supports the needs of employees to balance work and personal life.
• Performance plans and appraisals of subordinate staff members are completed by the due date; and at least one critical element for each is clearly traceable to the Department's or organization's goals and objectives (e.g., as appropriate, the Strategic Plan, Agency Performance Plan, PMA initiatives, organization strategic plan, etc.).
• Feedback on performance is provided to subordinate staff members on a frequent basis; their performance and that of their employees, as an individual or as a member of a team, is recognized with performance awards that are commensurate with the level of performance, responsibility, and progress towards the goals and objectives; the distribution of annual performance awards mirrors the distribution of performance ratings. Appropriate and timely action is taken to address performance that does not meet expectations.

• Employees are provided opportunities to excel and encouraged to expand their knowledge and skills through coaching, mentoring, developmental assignments, and training.
• The performance of subordinate staff members is appraised fairly against Specific, Measurable, Aggressive yet Achievable, Results-oriented, and Time-based (SMART) performance expectations.
• Solicits employee feedback on direction received, opportunities provided, and recognition given, as inputs for improving how employees are led and motivated.

3. Results Driven. Performance Requirements:

• Performance results and customer feedback are used to develop and implement initiatives to improve program/project performance, functional support, or service delivery.
• In the pursuit of the accomplishment of DOE goals and objectives, the behaviors exhibited exemplify a commitment to DOE's core values of safety, teamwork, integrity, and mission success.
• Short- and long-term organizational goals and objectives are based on the DOE Strategic Plan and Government wide initiatives and are realistic, measurable, and results-oriented.
• Work units are organized with the appropriate technical expertise and balance of workload to ensure organizational priorities are achieved.
• Potential or actual problems relating to the achievement of program/project objectives are identified and diagnosed with alternative courses of action identified and brought to the attention of the appropriate management officials in a timely manner.

4. Business Acumen. Performance Requirements:

• Considers customer perspectives and feedback, as appropriate, in adjusting priorities.
• Performance results and customer feedback are used to develop and implement initiatives to improve program/project performance, functional support, or service delivery.
• Workforce or project teams are deployed to accomplish efficiently and effectively the organization's goals and objectives.
• Current and future workforce or project team needs are assessed based on the organization's goals and objectives.
• Program/project/functional budgets are well-defined and defensible and prepared within external and internal guidelines and by due dates.
• Programs/projects/functions are managed cost-effectively including contractor costs; any unutilized funds or cost overruns are identified and brought immediately to the attention of senior management.
• Program/project/functional and contractor performance are reviewed periodically to monitor progress against milestones and goals; any problems or schedule delays are identified and immediately brought to the attention of senior management.
• Information technology is utilized effectively to organize and manage work and resources and to track and assess progress.
• To address skills imbalances and succession needs, highly qualified candidates are hired; developed; and promoted ensuring adherence to the Merit Systems Principles and equal opportunity without regard to race, color, national origin, sex, sexual orientation, or religion and by providing, if needed, reasonable accommodation(s) to an otherwise qualified individual with a disability utilizing all available hiring flexibilities.

5. Building Coalitions/Communications. Performance Requirements:

• Oral and written presentations are effective (e.g., accurate, well organized, and easily understood).
• Information, results and decisions are communicated in a timely manner.
• Interactions with others demonstrate the ability to listen effectively and to seek the opinions, ideas, and expertise of others.
• Working relationships, both internal and external, are cooperative and demonstrate the ability to be flexible and adaptable, facilitating win-win situations and the open exchange of ideas and opinions from diverse groups.
• Interactions with others demonstrate respect and an understanding of others' needs; establish trust; and foster support, cooperation, and knowledge sharing for the accomplishment of the Agency's goals and objectives.

DEPARTMENT OF ENERGY
SENIOR EXECUTIVE SERVICE PERFORMANCE PLAN AND APPRAISAL FORM

1a. Name: (Last, First, MI):	1b. Title:
. Organization:	1d. Duty Station:

1e. Rating Period Dates: Beginning/ ending mm/dd/yyyy – mm/dd/yyyy –	1f. Appraisal Type: ☐ Annual ☐ Advisory	1g. SES Appointment Type: ☐ Career ☐ Noncareer ☐ LTD Term ☐ LTD Emergency

SECTION 2 – PERFORMANCE PLAN DEVELOPMENT

The signatures below acknowledge joint development and understanding of the performance elements and requirements.

2a. Executive's Signature:	2b. Typed Name:	2c. Date:
2d. Rating Official's Signature:	2e. Typed Name:	2f. Date:

SECTION 3 – PROGRESS REVIEW

3a. A progress review has been conducted by the Rating Official (a minimum of one review must be conducted annually).

☐ Customer feedback was a consideration in the progress review assessment.
☐ Performance will result in at least "Meets Expectations" rating recommendation.
☐ Performance will result in less than a "Meets Expectations rating recommendation (supporting documentation attached).

3b. Executive's Signature:	3c. Typed Name:	3d. Date:
3e. Rating Official's Signature:	3f. Typed Name:	3g. Date:

SECTION 4 – ANNUAL PERFORMANCE RATING

Summary Rating

Summary Rating is based on the total scores on page 2.

4a. ☐ **Outstanding (O)** ☐ **Meets Expectations (ME)** ☐ **Minimally Satisfactory (MS)** ☐ **Fails to Meet (U)**

4b. Rating Official's Signature:	4c. Typed Name:	4d. Date:
. Higher Level Reviewing Official's Signature:	4f. Typed Name:	4g. Date:

Executive's Acknowledgement of Appraisal

4h. Executive's Signature:	4i. Typed Name:	4j. Date:

I have reviewed & discussed this appraisal with my Rating Official. My signature does not necessarily imply that I agree with the appraisal recommendations.	4k. ☐ Comments attached (only if you don't agree with the rating)

Rating Official Recommendations

4l. Recommended Bonus: %	4m. Recommended Pay Adjustment: %

Performance Review Board Recommendations

4n. ☐ Concur with Rating Official's Recommendation ☐ Nonconcur with Rating Official's Recommendation
☐ Rating Recommendation (if different from Rating Official):

4o. Recommended Bonus: %	4p. Recommended Pay Adjustment: %	
4q. PRB Chair Signature:	4r. Typed Name:	4s. Date:

SECTION 5 – FINAL DETERMINATION

5a. ☐ **Outstanding (O)** ☐ **Meets Expectations (ME)** ☐ **Minimally Satisfactory (MS)** ☐ **Fails to Meet (U)**

5b. Final Determination--Bonus: %	5c. Final Determination--Pay Increase Amount: %

5d. Secretary of Energy or Designee's Typed Name:

5e. Secretary of Energy or Designee's Signature:	5f. Date:

SECTION 6 – ESTABLISHING EXPECTATIONS

6a. ELEMENT I – KEY PROGRAMMATIC ACCOMPLISHMENTS (3-5 objectives) (60 Points Total)

Key Program Objectives	DOE Strategic Plan Goal	Effectiveness Measure (Meets Expectations level)	Weight

6b. ELEMENT II – KEY LEADERSHIP ATTRIBUTES (Executive Core Qualifications) (40 Points total)

NOTE: Rating will be based on full scope of ECQs. See Instructions for complete descriptions.	Weight
1. Leading Change-uses customer feedback to understand changing needs and conditions and to improve programs	
2. Leading People-communicates strategic goals to employees; considers employee perspective; makes meaningful distinctions on performance. Performance plans and appraisals of subordinates and in subordinate organizations are complete by due date, using performance plans that are clearly communicated, results-oriented, rigorous, and aligned to the department's goals and objectives. Provides meaningful and timely feedback. Rewards high performance and addresses poor performance.	
3. Results Driven-customer perspective/feedback used to develop and implement program improvements and adjust priorities	
4. Business Acumen-uses customer feedback, defines budgets, manages costs, addresses skills imbalances	
5. Building Coalitions-effective oral/ written presentations; establish trust; foster support, cooperation to accomplish Agency's goals.	

6c. INITIAL RATING

Element I – Key Program Objectives (60 Points)	Weight x Assigned Points Values	Total Point Value
1.	X	
2.	X	
3.	X	
4.	X	
5.	X	
Element II – Key Leadership Attributes (ECQs) (40 Points)		
1. Leading Change	X	
2. Leading People	X	
3. Results Driven	X	
4. Business Acumen	X	
5. Building Coalitions	X	
TOTAL POINT VALUE:		
OVERALL RATING:		

Rating Levels/Point Values	Summary Rating Scale
Outstanding (O) = 5 pts	475 – 500 = Outstanding (O)
Meets Exp (ME) = 3 or 4 pts	300 – 474 = Meets Expectations (ME)
Min Sat (MS) = 2 pts	200 - 299 = Minimally Satisfactory (MS)
Fails to Meet (U) = U rating	Below 200 = Fails to Meet (U)

6d. PERFORMANCE ASSESSMENT NARRATIVE (NOTE: Text is limited to the space provided below)

Executive

Rating Official