Guide for Use in Developing

Specific

Measureable

Achievable

Relevant

Time Bound

Performance Standards

What is the SMART methodology?

Results-based performance standards are reflective of, and cascade from, expectations established in the performance plans of each employee's supervisor, and they are written using the SMART goal methodology outlined below.

Specific	Defines what needs to be accomplished -Conveys a clear understanding of the impact of required actions -Covers "Big Bucket" items
Measurable	-Explains where the performance target lies by defining measurements (Quantity, Time, Milestones, Quality, Use of Resources) -A method or procedure must be in place that allows tracking, recording, and validation
Achievable	-Goals define how the employee can attain the goal through specific actions -Goals are challenging, but achievable -Goals must be within the employee's control
Relevant	-Explains why the goal is important – it is aligned with the strategic goals of DOE and it adds value -A clear connection should be shown to at least one level higher than the rated employee
Time-Bound	-Time-bound means there is a point in time when the goal will start or when it will be completed (i.e., second quarter, March 15, by the end of the rating cycle, etc.)

How do I use this Guide?

This Guide is designed to enable you to follow a step by step procedure to create **SMART** standards. It also includes several generic sample **SMART** standards that you may be able to use with little or no modification. Follow the steps described on the pages below to develop your own **SMART** standards, or use the generic sample **SMART** standards beginning on page 7.

Page 3: Use the questions provided in the template to help you construct your **SMART** standard.
Page 4: Provides an example of how to use this template.
Page 5: Complete the template by combining your responses to **SMART** questions into a narrative **SMART** performance standard.
Page 6: Illustrates how the **SMART** standard should look when transferred over to the performance plan form.
Pages 7-9: Contains sample **SMART** standards you can use or modify to meet your needs.

The SMART Template		
STEP 1. Read and respond to the questions in the middle column below. Document your responses in the column on the left.		
Specific <TYPE TEXT HERE>	• What results are needed? What is the bottom-line objective or goal? • Does it convey a clear understanding of the impact of required actions? • Is this a "Big Bucket" item? • Is there a measurable for the result? • Is the result observable?	**Results-Focused Critical Elements with Credible Measures**
Measurable <TYPE TEXT HERE>	• Where does the performance target lie? • Are there quantitative or qualitative measures? • Can a qualified observer tell if it is done well? • Is effective use of resources important? • Are there published standards? • Are employee attributes important?	
Achievable <TYPE TEXT HERE>	• How can employees attain the goal through specific actions? • What steps must be taken? • Is the outcome within the control of the employee (dependencies)? • Is there some stretch for the employee? • State HOW the result will be achieved (in accordance with…).	
Relevant <TYPE TEXT HERE>	• Why is the goal important (alignment)? • Does this result connect to the next higher level? • Does is support the achievement of DOE missions and themes? • Is there a line of sight to DOE strategic goals? • Does it add value to the organization?	**Goal Linkage**
Time-Bound <TYPE TEXT HERE>	• When will the goal start, or when will it be completed? • Can specific completion or achievement dates be used? • Are there interim milestones?	**Results-Focused Critical Elements with Credible Measures**

STEP 2: Using the sample below as your guide, complete the template on page 5 by combining the responses you documented on the previous page (from the left column) to create a narrative performance standard.

	COMBINED NARRATIVE PERFORMANCE STANDARD
Specific: What results are needed? • Implement and manage Research and Development (R&D) Projects	**SAMPLE SMART STANDARD:** Implement and manage Research & Development (R&D) projects in accordance with Power Systems Division and NEPA standards to meet timeframes specified in the annual R&D project plan, in order to increase environmental performance efficiency and system reliability by 1-3% over the previous fiscal year. Provides supervisor a progress report by the end of each quarter. By Dec 31, 2009, provide FY09 Qtr 1 project costs which equals or exceeds FY08 Qtr 1 costs by no more than 3%.
Measurable: Where does the performance target lie? Are there quantitative or qualitative measures? • Increase the efficiencies of environmental performance and reliability systems by 1-3% • FY09 Qtr 1 project costs are equal to or exceed FY08 Qtr 1 costs by no more than 3% • Complete reports and make recommendations regarding efficiency, cost, and reliability of power systems	
Achievable: How can employees attain the goal through specific actions? What steps must be taken? • Planning • R&D follow-through • NEPA Standards • Analysis and reporting of results • Development of advanced power systems	
Relevant: Why is the goal important (alignment)? • Supports DOE Strategic Goal #3 (this will be expressed in goal linkage)	
Time-Bound: When will the goal start, or when will it be completed? • Produce R&D deliverables by program due dates • Provide progress reports by end of each quarter • Provide Fy09 Qtr 1 project costs by Dec 31, 2009	

Step 2 continued. To complete the template below, combine the responses you listed in the left column on page 3 to create performance standards for a critical element. Follow the sample on the page 4 if you need assistance.

Goal Linkage		Results Focused Performance Standards with Credible Measures for a Critical Performance Element	Weight
1.	Identify the drivers for accomplishing work here to demonstrate that the goal is aligned with, and cascades from, high level organizational goals. For example: DOE Strategic Plan Goal #1. Energy Security	a. Identify a short title describing the nature of the expectations. This title identifies the Performance Element. b. In this block, combine your responses to the questions on Page 3 into narrative statements to create performance standards. <TYPE NARRATIVE SMART STANDARD HERE FROM PAGE 3>	

Step 3. Prepare additional Critical Elements and related SMART performance standards to cover major components of the position. Each Critical Element and related SMART standard should appear similar to the sample below:

Goal Linkage		Results Focused Critical Element with Credible Measures	Weight
1.	DOE Strategic Plan X.X	**Management of R&D Projects**: Implement and manage Research & Development (R&D) projects in accordance with Power Systems Division and NEPA standards to meet timeframes specified in the annual R&D project plan, in order to increase environmental performance efficiency and system reliability by 1-3% over the previous fiscal year. Provides supervisor a progress report by the end of each quarter. By Dec 31, 2009, provide FY09 Qtr 1 project costs which equals or exceeds FY08 Qtr 1 costs by no more than 3%.	

Sample SMART Elements

Sample **SMART** Elements are provided below. Each of these samples should be modified as needed to assure that the performance standards (expectations) defined in the performance element complements specific duties and responsibilities described in individual position descriptions. If you use these standards for multiple employees at different grade levels please ensure the measure and/or level of responsibility in each standard is adjusted accordingly.

It is also important to note that there are two different and distinct styles of **SMART** Elements below, narrative and bulleted. It is important that when you use either format you identify clear performance measures and levels of responsibility. It is recommended the number of performance measures range between 2 and 5 measures for each critical element. When utilizing percentages as a measure, OPM has recommended that whenever possible to use a range of percentages (i.e. 93-95% vs. 95%).

1. **Project/Program Management**: Provides overall planning, technical management, and coordination for assigned projects and activities under the **<insert project name>** and the **<insert project name>** to accomplish clean-up of the **<insert site name>** in accordance with DOE Order 413.3 and associated guides, the Federal Facility Agreement (FFA), CERCLA, and other applicable environmental laws and regulations. Work reflects thorough organization, implementation, knowledge of the project and related issues, and sound judgment as evidenced by customer feedback and finished work product. Initiative and ingenuity is used to resolve fiscal and technical problems as evidenced by independent and proactive resolutions to budgetary and other program specific issues and/or problems. Results will be demonstrated and measured by timely and effective completion of related FFA Milestones, Annual Performance Plan (APP) deadlines and milestones, IFPD critical decision documents, and other related assignments.

2. **Contractor Monitoring and Evaluation:** Supports **<insert applicable DOE or organization goal>** by providing effective oversight and or support of programs, site offices and major contractors under **<insert field office name>** purview in accordance with contractual provisions, DOE Orders, accepted industry standards, and established policies and procedures**.**

   - Regular contract monitoring meetings with business counterparts on current issues, working relationships, etc. are conducted in accordance with contractual provisions **<insert applicable percentage>** of the time.
   - Contractor performance is reviewed and evaluated in accordance with contractual provisions **<insert applicable percentage>** of the time.
   - Identify, resolve, and respond to budget policy issues and possible funding shortfalls including advice, policy interpretations and funding recommendations and resolutions on an ongoing basis as evidenced by adequate maintenance of funding documentation.
   - Project plans are reviewed and approved within **<insert agreed upon timeframes>** and executed in accordance with contractual provisions.
   - Project milestones are met, within **<insert established timeframe>**.

3. **<u>Contract Administration:</u>** Effective oversight, evaluation, and implementation of assigned contracts is provided in accordance with requirements in SCMS, DOE Orders, and applicable laws and regulations. Assigned contracts meet cost, schedule, and performance targets, as outlined in the contract. The employee identifies a need for, prepares, and/or implements new contracts, modifications, extensions, and other contractual agreements in accordance with established deadlines to assure mission accomplishment. Assigned deadlines as established by the supervisor, the Annual Performance plan, and independent audits and reviews and resultant corrective actions are met **<insert acceptable percentage>** of the time. At least **<insert timeframe>** face-to-face meetings are conducted with contractor counterparts to address the status of contractual provisions, any modifications needed, working relationships, and other pertinent issues to assure that matters that may hamper mission accomplishment are identified and addressed.

4. **<u>Lead Program Assignment <insert name of lead program>:</u>** Manages the **<insert name of lead program>** program in accordance with **<insert applicable guides/orders>**, DOE Orders, and established policies and practices.

   - Provide comments on applicable Departmental policies and develop SCMS procedures and standard operating procedure for assigned programs in a sound and logical manner and within the timeframe established. Documentation is complete, thorough, and easily retrievable.
   - Meetings are conducted with customers to identify and/or proactively prevent issues of concern and troubleshoot problems. Status updates of ongoing/current issues of concern being resolved are provided to the customers within **<insert timeframe>.**
   - Explanation of policies, regulations related advice and responses to questions or other requests are presented clearly, effectively, tactfully and within established timeframes **<insert timeframe, if applicable>**. Requests are acknowledged within **<insert timeframe>** of receipt.
   - Good judgment, discretion, and sensitivity in handling confidential and business sensitive matters is evidenced by following established procedures for safeguarding sensitive information and other confidential matters.
   - The employee is innovative and contributes ideas for reengineering and process improvement both internal and external to the organization as demonstrated by continuous improvements in quality, timeliness and/or effectiveness of assigned programs.

5. **<u>Customer Consultation:</u>** Advice, assistance and recommendations are factual, innovative and creative, and provided in accordance with **<insert applicable position guidelines used>**, DOE requirements, and established < insert applicable identification> policies in order to meet the customer's priorities and initiatives. Inquiries and requests for assistance are acknowledged within 24 hours of receipt, at least **<insert appropriate percentage>** % of the time and customers are kept informed of the status of their request or inquiry.

6. **Technical Support and Assistance:** Provides overall program support in accordance with the DOE Strategic Plan, SC Strategic Plan, and other applicable internal/external policies and guidelines to ensure program goals and requirements are met within established timeframes.

- Identify and document commitments, track accountability, and follow up with the responsible staff to assure that milestones and specific timelines in applicable tracking systems are met.
- Contacts with contractors, the line management, and Federal, state, and local officials are carried out in a professional manner; explanations, advice, and recommendations are documented and presented in a clear and effective manner as evidenced by customer implementation of advice and recommendations, and to the extent possible, requests for assistance are acknowledged within one day of receipt.
- Provide comments, recommendations, and audit reports that are factual, pertinent to issues involved, sound, thorough, and fully identify any inconsistencies in processes or procedures.
- Comprehensively plans and leads assessments, reviews, and/or appraisals in accordance with established procedures and policies, and agreed upon timeframes.
- Ensure that documentation is appropriately coordinated with supervisory and customer contacts, provided within agreed upon timeframes and findings and associated corrective actions are tracked and monitored to final implementation.

7. **Special Assignments:** Special projects or assignments are completed in accordance with established supervisor expectations, DOE Requirements, SCMS Procedures, and/or established policies and procedures in order to meet the requirements, scope and objectives established by the supervisor.

- Special assignments are completed in accordance with requested due dates and show use of investigative fact gathering and analytical techniques as appropriate.
- Partner with customers to support initiatives to the extent regulatory possible by providing flexible creative options to arrive at desired outcomes, resulting in win-win solutions to issues and problems.
- Documentation is appropriately coordinated with supervisory and customer contacts, provided within agreed upon timeframes and findings and associated corrective actions are tracked and monitored to final implementation.