

**Management System: Office of Human Resources**

# **Subject Area: Performance Management**

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## **1.0 Introduction**

This subject area contains procedures to assist supervisors and managers in implementing departmental performance management systems and administering incentive and performance award programs. These procedures:

- Provide the framework to managers and employees for identifying expectations and developing performance plans tied to mission objectives;
- Ensure that progress reviews and final ratings are accomplished in accordance with established timeframes;
- Provide assistance to supervisors in addressing performance issues, and;
- Provide information to supervisors, managers and employees regarding type of awards and justification required for each type of award.

## **2.0 Contents**

<b>Procedures</b>	<b>Procedure Content</b>
1. <a href="#">Implementing a Senior Executive Service (SES) Performance Plan in ePerformance</a>	<ul style="list-style-type: none"><li>• Performance Plans</li><li>• Conduct Self Assessments</li><li>• Conduct Progress Reviews</li></ul>
2. <a href="#">Implementing a Performance Plan for Supervisory and Non-Supervisory Employees in ePerformance</a>	<ul style="list-style-type: none"><li>• Develop Performance Plans</li><li>• Conduct Self Assessments</li><li>• Conduct Progress Reviews</li><li>• Rating of Record</li></ul>

## **3.0 Exhibits/Forms**

- [Guide for SMART standards](#)
- [ePerformance Link](#)
- [DOE O 331.1C, Administrative Change 1, Employee Performance Management and Recognition Program](#)

- [Supervisor/Non-Supervisor Performance Management Desk Reference](#)

#### 4.0 Related Information

- [DOE Human Capital Management \(HC\) Performance Management Resources Web page](#)
- [DOE Strategic Plan](#)
- [U.S. Office of Personnel Management \(OPM\) Performance Management Web site](#)

#### 5.0 Requirements

Document	Title
<a href="#">5 CFR 430</a>	<i>Performance Management</i>
<a href="#">DOE O 331.1C, Admin. Change 1</a>	<i>Employee Performance Management and Recognition Program</i>

#### 6.0 Definitions

Term	Definition
<b>Acceptable Performance</b>	Performance that meets an employee's performance requirement(s) or expectation(s) at the Meets Expectations (ME) or higher level of achievement in the critical element(s) at issue.
<b>Advisory Performance Rating</b>	The performance rating given by management officials with authority to assign work to employees who have been on a detail or temporary assignment exceeding 90 days. The advisory rating will be applied to the official rating of record (appraisal).
<b>Appraisal</b>	The process under which performance is reviewed and evaluated. Official rating of record.
<b>Critical Element</b>	The work assignment or responsibility of such importance that unacceptable performance on the critical element would result in a determination that an employee's overall performance is unacceptable.
<b>Days</b>	Calendar days unless otherwise specified.

<b>Management/Supervisor Official</b>	An individual in a position to which the duties and responsibilities require or authorize the individual to formulate, determine, or influence the policies of the agency.
<b>Performance Attributes</b>	Those sub-elements for the performance elements common to all positions.
<b>Performance Expectation (Standard)</b>	The management-approved expression of the performance threshold(s), requirement(s), or expectation(s) that must be met for the employee to be appraised at a particular level of performance. A performance expectation (standard) may include, but is not limited to quality, quantity, timeliness, and manner of performance. Critical elements are written at the Meets Expectations (ME) level.
<b>Performance Period</b>	Is synonymous with "appraisal period". It means the established period of time for which performance will be reviewed and a rating of record will be prepared. Normally October 1 <sup>st</sup> through September 30 <sup>th</sup> .
<b>Performance Plan</b>	All the written or otherwise recorded, performance elements that set forth expected performance. A plan includes all critical elements and their performance expectations (standards).
<b>Performance Rating</b>	The recorded appraisal of performance, calculating the ratings on each critical element for a cumulative total when there has been an opportunity to perform the duties for at least the minimum 90 calendar day period.
<b>Progress Review</b>	A formal communication with the employee about his/her performance compared to the established performance expectations (standards) of their critical elements. In accordance with the GEAR program, a minimum of two progress reviews are normally conducted during the appraisal period.
<b>Rating Official</b>	The person who, as described by express language in his/her position description, is responsible for developing performance plans, for monitoring performance, and/or for rating performance of the employees under his/her supervision.

**Reviewing Official**

The person with full supervisory authority who is responsible for approving performance plans and performing ratings of record prior to their transmittal to employees. The reviewing official is normally the rating official's immediate supervisor.