

**DEPARTMENT OF ENERGY
SUPERVISORY/NON-SUPERVISORY PERFORMANCE PLAN AND APPRAISAL FORM**

SECTION 1 - EMPLOYEE DATA

1a. Name (Last, First MI)	1b. Position Title/ Pay Plan/Series/Grade
1c. Organization	1d. Duty Station
1e. Appraisal Period Dates Beginning: Ending:	1f. Appraisal Type <input type="checkbox"/> Annual Rating of Record <input type="checkbox"/> Special Rating Of Record (e.g. WGI or RIF) <input type="checkbox"/> Advisory Rating (Detail /Temporary Promotion)

SECTION 2 - PERFORMANCE PLAN CERTIFICATION

Signatures certify that the critical elements in this plan were discussed with the employee and the employee was provided a copy of this plan.

2a. Typed Name	2b. Reviewing Official's Signature	2c. Date
2d. Typed Name	2e. Rating Official's Signature	2f. Date
2g. Typed Name	2h. Employee's Signature	2i. Date
2j. <input type="checkbox"/> Employee declined to sign form. <input type="checkbox"/> Employee not available to sign form Reason:		

SECTION 3 – PROGRESS REVIEW #1

Signatures certify that the employee's progress toward meeting the job performance outcomes/expectations was discussed with the employee and the employee was provided a copy of the Progress Review.

3a. Typed Name	3b. Reviewing Official's Signature	3c. Date
3d. Typed Name	3e. Rating Official's Signature	3f. Date
3g. Typed Name	3h. Employee's Signature	3i. Date
3j. <input type="checkbox"/> Employee declined to sign form. <input type="checkbox"/> Employee not available to sign form Reason:		

SECTION 3 - PROGRESS REVIEW #2 (if applicable)

3k. Typed Name	3l. Reviewing Official's Signature:	3m. Date
3n. Typed Name	3o. Rating Official's Signature	3p. Date
3q. Typed Name	3r. Employee's Signature	3s. Date
3t. <input type="checkbox"/> Employee declined to sign form. <input type="checkbox"/> Employee not available to sign form Reason:		

Section 4 - Progress Review #1 - certify discussion on page 1, Section 3	
Critical Element	Rating Official's Comments
1.	
2.	
3.	
4.	
5.	
6.	

Section 4 - Progress Review #2 - certify discussion on page 1, Section 3 (if applicable)	
Critical Element	Rating Official's Comments
1.	
2.	
3.	
4.	
5.	
6.	

SECTION 5a - CRITICAL ELEMENTS

Each employee’s performance plan must have at least 3, but no more than 6 critical elements. Each critical element can be single, double, or triple weighted for a maximum of 6 weighted critical elements. Critical elements are written at the “Meets Expectations” level.

Critical Element 1
 Weight: Single (X1) Double (X2) Triple (X3)

Description:

Goal Linkage:

Job Performance Outcomes/Expectations:

Contributing Factors:

<input type="checkbox"/> Customer Service	<input type="checkbox"/> Communication	<input type="checkbox"/> Resourcefulness/Innovation
<input type="checkbox"/> Responsibility/Accountability	<input type="checkbox"/> Teamwork	<input type="checkbox"/> Safety

Critical Element Performance Rating:		EE		ME		NI		FME		NR
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Rating Official’s Comments:

Critical Element 2

Weight: Single (X1) Double (X2) Triple (X3)

Description:

Goal Linkage:

Job Performance Outcomes/Expectations:

Contributing Factors:

Customer Service

Communication

Resourcefulness/Innovation

Responsibility/Accountability

Teamwork

Safety

Critical Element Performance Rating:

EE

ME

NI

FME

NR

Rating Official's Comments:

Critical Element 3

Weight: Single (X1) Double (X2) Triple (X3)

Description :

Goal Linkage:

Job Performance Outcomes/Expectations:

Contributing Factors:

Customer Service

Communication

Resourcefulness/Innovation

Responsibility/Accountability

Teamwork

Safety

Critical Element Performance Rating:

EE

ME

NI

FME

NR

Rating Official's Comments:

Critical Element 4

Weight: Single (X1) Double (X2) Triple (X3)

Description:

Goal Linkage:

Job Performance Outcomes/Expectations:

Contributing Factors:

Customer Service

Communication

Resourcefulness/Innovation

Responsibility/Accountability

Teamwork

Safety

Critical Element Performance Rating:

EE

ME

NI

FME

NR

Rating Official's Comments:

Critical Element 5

Weight: Single (X1) Double (X2) Triple (X3)

Description:

Goal Linkage:

Job Performance Outcomes/Expectations:

Contributing Factors:

Customer Service

Communication

Resourcefulness/Innovation

Responsibility/Accountability

Teamwork

Safety

Critical Element Performance Rating:

EE

ME

NI

FME

NR

Rating Official's Comments:

Critical Element 6
Weight: Single (X1) Double (X2) Triple (X3)

Description:

Goal Linkage:

Job Performance Outcomes/Expectations:

Contributing Factors:
 Customer Service Communication Resourcefulness/Innovation
 Responsibility/Accountability Teamwork Safety

Critical Element Performance Rating: EE ME NI FME NR

Rating Official's Comments:

<p>Supervisory Critical Element (if applicable) Weight: <input type="checkbox"/> Double (X2) <input type="checkbox"/> Triple (X3) (Weight is included in the total of the weighed critical elements)</p>
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Description: Supervisory Critical Element

Goal Linkage:

Job Performance Outcomes/Expectations: Carries out supervisory/managerial duties in accordance with Federal regulations and DOE directives, and within established deadlines, to provide subordinates with leadership and direction in order to support _____ (insert organization) and DOE in meeting its mission, goals and objectives. Seeks out feedback from others; considers employee and customer feedback to develop and implement initiatives to improve program/project performance, promotes diversity and cooperation among peers and subordinates, while guiding, motivating and stimulating positive responses. Manages the performance appraisal program for his/her subordinates through meeting deadlines, aligning subordinate performance plans to DOE goals, providing meaningful and timely feedback, making distinctions in ratings and awards, and addressing poor performance and other employee relations issues.

Provides leadership and support to improve the hiring process to recruit and retain a diverse and highly skilled workforce by planning for current and future workforce requirements, identifying skills required for the job, proactively participating in the recruitment and interviewing processes, and providing assistance to newly hired Federal employees in accordance with DOE requirements and established timeframes in order to meet the President’s recruitment and hiring reform objectives.

(Identify any organizational milestone, deliverables, or deadlines)

Contributing Factors:

<input type="checkbox"/> Customer Service	<input type="checkbox"/> Communication	<input type="checkbox"/> Resourcefulness/Innovation
<input type="checkbox"/> Responsibility/Accountability	<input type="checkbox"/> Teamwork	<input type="checkbox"/> Safety

Critical Element Performance Rating:	<input type="checkbox"/>	EE	<input type="checkbox"/>	ME	<input type="checkbox"/>	NI	<input type="checkbox"/>	FME	<input type="checkbox"/>	NR
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Rating Official’s Comments:

SECTION 5b – CRITICAL ELEMENT AGGREGATE TOTALS		
This is the total number of weighted critical elements that have been rated at each level.		
<input type="text"/> EE	<input type="text"/> ME	<input type="text"/> NI
<input type="text"/> FME	<input type="text"/> NR	
SECTION 5c – SUMMARY RATING DETERMINATION CHART		
Total Weighted Critical Elements	And	Summary Rating
All at EE		Significantly Exceeds Expectations (SE)
Majority at EE	No element at NI	Exceeds Expectations (EE)
Equally divided between EE and ME	No element at NI	Meets Expectations (ME)
All or a majority at ME	No element at NI	Meets Expectations (ME)
Majority at EE or ME	Less than 50% at NI	Meets Expectations (ME)
At least 50% at NI	No element at FME	Needs Improvement (NI)
At least one at FME		Fails to Meet Expectations (FME)
<i>Note: If fifty percent of the critical elements are rated the same, the summary rating is not rounded up.</i>		
SECTION 5d – SUMMARY RATING (from Summary Rating Determination Chart above)		
Signatures certify that the employee’s summary rating has been discussed and that the employee was provided copy of this appraisal form. The employee’s signature does not necessarily indicate agreement with the rating.		
<input type="text"/> SE	<input type="text"/> EE	<input type="text"/> ME
<input type="text"/> NI	<input type="text"/> FME	
5e. Typed Name	5f. Reviewing Official’s Signature	5g. Date
5h. Typed Name	5i. Rating Official’s Signature	5j. Date
5k. Typed Name	5l. Employee’s Signature	5m. Date
5n. <input type="checkbox"/> Employee declined to sign form. <input type="checkbox"/> Employee not available to sign form Reason:		

Privacy Act Statement
<p>This performance appraisal form is subject to the provisions of the Privacy Act of 1974 (P.L. 93-579: Statute 1896. Copies will be retained and provided for review by appropriate management officials. The form is used to document the evaluation of the incumbent’s performance in completing the assigned critical elements, to determine performance award eligibility and compensation benefits, and for taking action to improve the employee’s performance or other appropriate action when performance is unacceptable. The authority to collect this information is derived from 5 USC 4305 and 5 CFR Part 430, Management. The information will not be disclosed outside the Department without prior consent, except as required or permitted by law or Office of Personnel Management System of Record Notice OPM/Govt-2, Employee Performance File System Records. Ratings of record are stored in the employee’s electronic Official Personnel File (eOPF).</p>

5o. Rating and/or Reviewing Official's Comments: *(Optional)*

5p. Employee Comments: *(Optional)*