



Department of Energy

Washington, DC 20585

MAR 3 1 1995

MEMORANDUM TO: ARCHER L. DURHAM
ASSISTANT SECRETARY FOR HUMAN RESOURCES
AND ADMINISTRATION

THROUGH: THOMAS W. EVANS *Tom Evans*
TECHNICAL PERSONNEL PROGRAM COORDINATOR

FROM: TIMOTHY M. DIRKS *Tim Dirks*
DEPUTY ASSISTANT SECRETARY
FOR HUMAN RESOURCES

SUBJECT: COMMITMENTS 3.2 AND 4.7 OF THE DEPARTMENT'S
IMPLEMENTATION PLAN FOR DEFENSE NUCLEAR
FACILITIES SAFETY BOARD RECOMMENDATION 93-3

The Department's Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 93-3 requires the Department to develop and issue policy and guidance for upgrading the language in organizations' performance appraisal systems covering technical personnel. These systems would apply to technical personnel subject to the requirements of the Technical Qualification Program and their supervisors and managers.

The attached guidance document was issued for comment in December 1994. The guidance document provides interim guidance, including sample elements and standards, to assist technical managers and supervisors and servicing personnel offices in developing performance elements for technical personnel. The guidance has been modified, based on comments received, to reflect the need to integrate performance management for technical personnel with 360 and other non-traditional performance management systems. A project plan to review 360 degree performance management systems Department-wide is also being considered and, if adopted, will include the issue of measuring technical performance. I will keep you advised of developments in this area.

This guidance document meets the deliverable for Commitment 4.7 of the Plan and the sample performance elements complete the deliverables for Commitment 3.2.

If you have any questions regarding this guidance document, please contact me or Anita Sciacca at (202) 586-5610.





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Washington, DC 20585

MAR 31 1995

MEMORANDUM FOR: THOSE ON ATTACHED LIST

FROM: TIMOTHY M. DIRKS
DEPUTY ASSISTANT SECRETARY
FOR HUMAN RESOURCES

SUBJECT: PERFORMANCE MANAGEMENT IN SUPPORT OF THE
TECHNICAL QUALIFICATION PROGRAM

The Department's Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 93-3 requires the development and issuance of policy and guidance for upgrading organizations' performance appraisal plans for technical personnel. In recognition of the efforts underway to establish qualifications' standards for technical personnel that oversee or evaluate Federal and contractor technical training and qualification activities, and technical personnel performing activities related to the management, oversight, or operation of nuclear facilities, the attached guidance document is being provided for your use.

The guidance is intended as another tool for managers to use in achieving technical excellence and was developed to be consistent with other Departmental performance management systems, including the Senior Executive Service Performance Management System and the Performance Management Program for Managers and Supervisors, which cascades down from the Senior Executive Service Performance Management System. The guidance document includes sample performance elements and standards for technical managers and supervisors and their staffs.

Comments were solicited, through a memorandum dated December 28, 1994, on a draft of this guidance. Numerous comments were received, with the primary concern being how to appropriately integrate appraisal of the performance of technical personnel with 360 degree and other non-traditional performance management systems. Comments were also solicited at a workshop to plan implementation of the Performance Management Program for Managers and Supervisors, which was conducted in Baltimore, Maryland, on March 14-15. Workshop participants also discussed ways to integrate appraisal of technical personnel with the performance management systems in use at their offices.

As a result of these comments, changes have been made to the guidance to reflect the need to integrate performance management for technical personnel with 360 and other performance management systems. A project plan to review the feasibility and appropriateness of establishing 360 degree performance management systems Department-wide is being considered and, if adopted, will include the issue of evaluating technical performance. We will keep you advised of developments in this area.



Several comments addressed the compatibility of the sample performance elements and standards for non-supervisory technical personnel, taken from the Draft Qualification Standard and Personnel Guide for Facility Representatives, and the guidance document, particularly the section describing the Performance Management Program for Managers and Supervisors. As noted in the "General" introduction to the Facility Representative model performance elements and standards, these models are generic and should be modified to fit other Departmental or local systems.

If you have any questions regarding this guidance, please contact Bill Pearce of the Office of Executive & Technical Resources on (202)-586-3381, or via Electronic Mail.

PERFORMANCE MANAGEMENT GUIDANCE
IN SUPPORT OF THE
TECHNICAL QUALIFICATIONS PROGRAM

ASSISTANT SECRETARY FOR HUMAN RESOURCES AND ADMINISTRATION

DEPUTY ASSISTANT SECRETARY FOR HUMAN RESOURCES

March 1995

**Program Guidance Document: PERFORMANCE MANAGEMENT IN
SUPPORT OF THE TECHNICAL
QUALIFICATION PROGRAM**

BACKGROUND:

A team of Senior Executives from throughout the Department, under the direction of the Deputy Assistant Secretary for Human Resources, was assembled to develop a simpler performance management system that would be more supportive of the Department's strategic planning, quality, and program objectives. The new system was approved by the Secretary and became effective July 1, 1994. The Department completed the first cycle of the new Senior Executive Service (SES) Performance Management System in September 1994. The new system was designed in response to Secretary O'Leary's direction to develop a system which would hold executives accountable for obtaining results which support the Department's Strategic Plan and key mission objectives -- including improving technical excellence and reliability.

Efforts are now underway in the Department to implement the Managerial and Supervisory Performance Management System, cascading from the Senior Executive Service Performance Management System. This system will ensure that critical managerial/supervisory elements are consistent with and supportive of those of the Senior Executives.

A Departmental Order on Performance Management is in the process of being issued, and will consolidate Departmental policy on performance appraisal and incentive awards for non-SES managers, supervisors, and employees. The Order will provide flexibility so that Heads of Departmental Elements may design Performance Management Systems which can be tailored to the individual needs of their organizations within an established policy framework.

The guidance which follows supports both the Department of Energy Performance Management Program and Commitments 3.2 and 4.7 outlined in the Department of Energy's Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 93-3. These commitments demonstrate the importance of performance management in achieving technical excellence and in implementing the Technical Qualification Program currently under development.

PURPOSE/SCOPE:

The 93-3 Implementation Plan contains Commitments 3.2 and 4.7 which require that the Department develop and issue policy and guidance for upgrading the language in performance appraisal standards dealing with technical excellence and establishing performance elements for technical personnel required to complete training and qualification requirements under the Technical Qualification Program.

COVERAGE:

Personnel covered by this guidance include managers and supervisors of technical personnel, i.e., those in positions covered by the Technical Qualifications Program, that must complete qualification requirements; personnel that oversee or evaluate Federal and contractor technical training and qualification activities; and technical personnel performing activities related to the management, oversight, or operation of defense nuclear facilities. Heads of Departmental Elements will determine which employees in their organizations meet the above criteria and should be included.

IMPLEMENTATION GUIDELINES:

Managers/Supervisors Covered by the Technical Qualifications Program:

Background:

A Performance Management System has been developed, and is in the process of implementation, which supports the Department's strategic plan, mission, goals and objectives, cascades down from the Senior Executive Performance Management System, and aligns individual performance expectations to organizational performance goals and objectives. Under this System, organizations have the opportunity to modify local performance systems based on local program requirements and initiatives with absolute requirements for designing performance management systems kept to a minimum.

Local performance management systems, including 360 degree and other non-traditional systems, covering technical managers and supervisors involved in Federal qualification activities and oversight of contractor training and qualification activities should be designed to include

standards and elements which support the Department's and organization's strategic planning, quality, and program objectives, and promote technical excellence.

The key features of the Performance Management Program for Managers and Supervisors are:

- The Program applies to all Departmental supervisors and managers except Senior Executive Service employees and employees in positions for which employment is not reasonably expected to exceed 120 days in a consecutive 12 month period;
- Organizations are encouraged to cascade appropriate performance subelements into team leader and non-supervisory plans;
- At a minimum, plans must have two "critical" performance elements:
 1. Leadership -- generic executive competencies;
 2. Program accomplishments -- to be tailored locally -- and which should include technical performance requirements as appropriate to the position.
- Rating cycles will be tied to the organization's strategic/operating plans and executives' performance plans.
- Performance will be rated on a three-level scale:
 - a) Does not meet expectations
 - b) Meets/exceeds expectations
 - c) Exceptional
- There is no requirement to base awards solely on ratings.

Critical Performance Elements for Technical Managers/Supervisors:

At a minimum, supervisory/managerial performance plans for Managers and Supervisors covered by the Technical Qualifications Program must include the following two critical elements:

1) Leadership

The manager/supervisor leads in a proactive, supportive and customer- focused manner consistent with the Department's vision and values, and promotes similar behavior throughout his/her organization.

Subelements:

The Performance Management Program for Technical Managers and Supervisors provides the flexibility to define subelements and competencies related to leadership. These subelements should be reflective of the actual responsibilities of the position and Departmental and organizational strategic and quality goals and objectives.

As appropriate, standards for managers and supervisors covered by the Technical Qualification Program should incorporate performance requirements and expectations (i.e., performance subelements and competencies) which address technical excellence as it relates to leadership. For example, the following subelements could be applied to Technical Managers and Supervisors:

- Communicating technical excellence policies and procedures.
- Supporting technical excellence policies, procedures and programs, i.e., the Technical Qualification Program.
- Fostering technical excellence within the organization.
- Incorporating technical excellence principles and programs as tools for improving the organization.
- Ensuring that work decisions/products account for and reflect technical excellence.
- Promoting programs that enhance technical excellence.

Performance standards for the leadership element and subelements need to be developed so that distinctions can be determined among the three levels (i.e., does not meet expectations, meets/exceeds expectations, and exceptional) of performance ratings. The standards should be written as measurable levels or types of performance that provide evidence regarding the degree to which the element or

subelement was accomplished.

2) Program Accomplishments

The manager/supervisor produces and improves specific products, deliverables, programs and services which flow out of the organization's strategic plan and/or individual work plan.

Subelements:

The Technical Qualification Program consists of three levels of technical competencies:

- General Technical Base Qualification Standard - establishes the base technical competency requirements.
- Functional Area Qualification Standards - establish Department-wide competency requirements in each of the identified functional areas.
- Office/facility-specific qualification standards - establish unique technical competency requirements at Headquarters or the field.

As the functional area competency requirements are approved and become available for implementation at the local level, managers and supervisors should review them carefully to ensure that performance plans for technical managers and supervisors are modified to incorporate technical competencies which should be included as subelements under the Program Accomplishment critical performance element. Attachment A provides a description of each of the 23 functional areas covered under the Technical Qualification Program.

Attachment B provides examples of Technical Qualification Program responsibilities which should be considered for inclusion in performance plans as elements/subelements. It may be necessary to tailor these to meet the requirements of local performance management systems, particularly 360 degree systems.

Non-Supervisory/non-Managerial Personnel Covered by the Technical Qualification Program:

Non-supervisory/non-managerial personnel involved in the

management, oversight, or operations at defense nuclear facilities will also be covered by the Technical Qualification Program and will be required to meet the competencies outlined in the General Technical Base Qualification Standard, Department-wide Functional Area Qualification Standards, and Office/Facility-specific Qualification Standards which establish unique operational competency requirements specific to the organization.

Policy established by Draft DOE Order 3430.4A, Departmental Performance Management System, currently in final draft stage, will apply to these employees. In accordance with this Order, individual performance expectations should be aligned to organizational performance goals and expectations and should support the Department's strategic plan, mission, goals, and objectives and quality management philosophy. Additionally, consideration should be given to incorporating responsibilities of employees covered by the Technical Qualification Program into individual performance plans as appropriate to reflect the critical aspects of employees' duties and responsibilities.

Attachment C provides a sample of performance elements and standards for non-supervisory technical personnel. These samples were taken from the Draft Qualification Standard and Personnel Guide for Facility Representatives, prepared by the Office of Field Management. These samples serve as examples of specific performance elements and standards that could be used in performance management systems covering technical managers and supervisors. Other samples and models will be explored in the future in concert with the finalization of Technical Qualification Standards for each of the 23 functional areas.

TECHNICAL EMPLOYEE FUNCTIONAL AREA CATEGORIES FOR NUCLEAR FACILITIES

1. **Technical Manager**
 - managers of technical programs and/or technical personnel; primarily those personnel in the other functional area categories listed in this document.
 2. **Facility Representative**
 - on-site Department management representative to oversee facility contractor operations
 - generalists in areas of design, operations, orders and regulations at a specific facility(s)
 3. **EH Site Representative**
 - on-site representative of the Environmental Safety and Health (EH) organization
 - provide independent oversight of health and safety programs at DOE facilities
 4. **Nuclear Systems Safety**
 - expertise in areas such as criticality safety, nuclear safety envelope, safety analysis reports (SAR), and risk assessments.
 5. **Nuclear Weapons Safety**
 - expertise in areas related to safety of nuclear weapons as it relates to basic nuclear weapon design, nuclear weapon assembly and disassembly, and nuclear weapons testing.
 6. **Fire Protection**
 - expertise in areas such as fire protection system engineering, fire prevention, fire detection systems, and fire response organizations.
 7. **Radiation Protection**
 - expertise in areas such as radiation instruments and detection systems, radiological engineering and administrative controls, radiation monitoring programs, and radiation health effects.
 8. **Industrial Hygiene**
 - expertise in areas such as industrial health regulations and laws, personnel monitoring programs, access control programs, personnel protective equipment, hazardous materials control programs, and biological effects of hazardous materials and environments.
 9. **Occupational Safety**
 - expertise in areas such as federal, state and local laws and regulations related to occupational safety, construction safety, personnel protective equipment requirements, electrical safety, and transportation safety programs.
 10. **Emergency Management**
 - expertise in areas such as federal, state and local emergency preparedness laws, facility emergency preparedness programs, facility emergency management engineering systems, risk assessment, and root cause analysis.
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20. Waste Management

expertise in areas such as federal, state and local laws and regulations related to storage and handling of hazardous waste, nuclear and non-nuclear waste management engineering systems, waste minimization programs, and waste transportation regulations.

21. Quality Management

expertise in areas such as nuclear and non-nuclear facility quality assurance program requirements, quality control programs and systems, audit and inspections programs and techniques, root cause analysis, and nuclear weapons quality assurance and control programs.

22. Technical Training

expertise in areas such as technical training and qualification program design, development, implementation and evaluation for contractor and federal technical personnel.

23. Safeguards and Security

expertise in areas such as control, accountability, and transportation of special nuclear material, physical security, counterintelligence, communications security, and classification of information.

ATTACHMENT B

SAMPLE PERFORMANCE SUB-ELEMENT FOR MANAGERIAL & SUPERVISORY PERSONNEL COVERED UNDER THE TECHNICAL QUALIFICATION PROGRAM

Performance Sub-Element: Support the organization's effort to strengthen the technical capability of its Federal technical work force by implementing the Technical Qualification Program.

Subelements

1. Technical Qualification Program Coverage
Determine which employees are covered under the Technical Qualification Program by assessing the competencies required for each position under the manager's/supervisor's purview. Competencies are compared against the published Technical Qualification Standards to determine which Functional Areas apply to each employee.
2. Individual Development Plans
Individual Development Plans are developed for each employee in the supervisor's group, identifying competencies related to the employee's job. The supervisor meets with the employee to gain input regarding the training needed and provides for waivers and/or remedial training when applicable.
3. Training Plans and Progress Reviews
Identify sources for meeting competency requirements, including classroom training, on-the-job training, required reading, developmental assignments, and other learning activities to ensure that employees achieve the qualification criteria. Meet with the employee to determine the preferred method of gaining these skills and knowledge so that maximum learning may be obtained in the most cost-effective manner. Track progress of candidates as they proceed through the qualification program. Take appropriate actions to ensure that covered employees pursue competency requirements and follow-up with corrective and other actions for individuals who do not acquire required competencies.

4. Performance Appraisal Plans

Develop performance plans and associated standards that include measurements of technical competence. Conduct semi-annual qualification reviews with candidates as part of the appraisal program. Rate employees and take other actions as appropriate based on demonstrated proficiency in technical competencies.

5. Recruitment and Staffing Requirements

Provide detailed information to the servicing personnel office for the development of vacancy announcements and crediting plans to ensure selection of best-qualified applicants. Prepare and update position descriptions to include technical competencies required to successfully carry out the duties of the position.

FACILITIES REPRESENTATIVE - PERFORMANCE STANDARDS

General

The following are model performance elements and standards for Facilities Representative (FR) positions. These elements and standards are keyed to the primary duties and responsibilities of FR positions, as described by the model position descriptions. The elements and standards are written at the fully successful performance level for GS-13 grade level positions. Generic standards are provided for marginal and outstanding performance levels. Illustrative examples of marginal performance for each performance element are also provided. Offices which wish to use these model elements and standards for positions at the GS-12 and GS-14 grade levels should modify the model as appropriate to reflect the position descriptions for positions at these grade levels.

Performance Element

Conducts daily on-site environmental, health, and safety (ES&H) related inspections of the facility and its operations.

Performance Standard

FULLY SUCCESSFUL PERFORMANCE LEVEL

Inspections are thorough, accurately reflect the ES&H conditions of the facility, and identify real time and potential long term problems, as pertinent. Inspection findings demonstrate an expert knowledge of engineering or related fields, the facility and its operations; and an ability to apply subject matter laws and regulations to make decisions and take actions to ensure the safe operation and management of the facility.

MARGINAL PERFORMANCE LEVEL

In general, marginal performance is characterized as requiring intervention to ensure that the duties as described are performed successfully. The FR displays a lack of knowledge of engineering or related fields, the facility and its operations, and an inability to analyze or describe ES&H conditions or problems adequately. Examples of marginal performance for this performance element are described below.

Inspections must be accompanied by the FR's supervisor or others;

Proper prescribed procedures are not followed initially or correctly;

DOE management is not currently or completely apprised of the status of the facility's operations.

OUTSTANDING PERFORMANCE LEVEL

In general, the duties of the position consistently are performed in such a way as to: demonstrate a superior knowledge and understanding of engineering or a related field, and the facility; and establish a standard of excellence with respect to situational analysis and creativity and innovativeness of problem resolution.

Performance Element

Conducts facility-wide systems inspections, e.g., work control systems, engineering controls, and quality assurance program.

Performance Standard

FULLY SUCCESSFUL PERFORMANCE LEVEL

Inspections are thorough and timely, and correctly identify real time and potential long term problems, as pertinent. Inspection findings demonstrate an expert knowledge of engineering or related fields, the facility and its operations; and an ability to apply subject matter laws and regulations to ensure the safe operations and management of the facility. Prescribed procedures are followed in a timely manner in order to resolve deficiencies or concerns. Sound judgement is exercised to identify those instances/situations requiring immediate attention and take "stop work" action when warranted.

MARGINAL PERFORMANCE LEVEL

In general, marginal performance is characterized as requiring intervention to ensure that the duties as described are performed successfully. The FR displays a lack of knowledge of engineering or related fields, the facility and its operations, and an inability to analyze or describe ES&H conditions or problems adequately. Examples of marginal performance for this performance element are described below.

"Stop work" actions are not initiated consistently on a timely basis and result in potentially hazardous ES&H conditions occurring in the facility.

Investigative findings typically fail to correctly analyze a situation or recommend an appropriate responsive action, either of which require others to repeat the investigation or provide additional analytical assessments of the described situation.

OUTSTANDING PERFORMANCE LEVEL

In general, the duties of the position consistently are performed in such a way as to: demonstrate a superior knowledge and understanding of engineering or a related field, and the facility; and establish a standard of excellence with respect to situational analysis and creativity and innovativeness of problem resolution.

Performance Element

Independently, or as a team member, investigates and reviews environmental, safety and health (ES&H) events or conditions affecting facility operations.

Performance Standard

FULLY SUCCESSFUL PERFORMANCE LEVEL

Investigative findings are factually correct; input to, or sole preparation of, reports or presentations of findings are clearly and convincingly stated and articulated. Findings demonstrate an ability to correctly analyze a situation and identify/assess the appropriateness of the identified root cause of the problem. Recommendations demonstrate a knowledge of the appropriate technical field.

MARGINAL PERFORMANCE LEVEL

In general, marginal performance is characterized as requiring intervention to ensure that the duties as described are performed successfully. The FR displays a lack of knowledge of engineering or related fields, the facility and its operations, and an inability to analyze or describe adequately ES&H conditions or problems. Examples of how marginal performance is demonstrated are described below:

Investigative findings typically fail to correctly analyze a solution or recommend an appropriate responsive action, either of which require others to repeat the investigation or provide additional analytical assessments of the described situation.

OUTSTANDING PERFORMANCE LEVEL

In general, the duties of the position consistently are performed in such a way as to: demonstrate a superior knowledge and understanding of engineering or a related field, and the facility; and establish a standard of excellence with respect to situational analysis and creativity and innovativeness of problem resolution.

Performance Element

Provides environmental/safety/health (ES&H) and quality assurance input into reports on the status of assigned facility.

FULLY SUCCESSFUL PERFORMANCE LEVEL

Performance Standard

Input to reports is factually correct and clearly identifies and states problems and recommendations. Corrective action recommendations are based on sound analytical assessments of the status of ES&H conditions. Demonstrates sound judgement in correctly identifying those situations requiring immediate or prompt management/contractor attention.

MARGINAL PERFORMANCE LEVEL

In general, marginal performance is characterized as requiring intervention to ensure that the duties as described are performed successfully. The FR displays a lack of knowledge of engineering or related fields, the facility and its operations, and an inability to analyze and describe ES&H conditions or problems adequately. Examples of marginal performance for this performance element are described below.

Input to reports fails to provide information which clearly defines problem areas and/or recommends appropriate responsive action.

OUTSTANDING PERFORMANCE LEVEL

In general, the duties of the position consistently are performed in such a way as to: demonstrate a superior knowledge and understanding of engineering or a related field, and the facility; and establish a standard of excellence with respect to situational analysis and creativity and innovativeness of problem resolution.

Performance Element

Generates reports on the facility's operational status, events, and trends to DOE local and HQ management officials. Prepares reports on contractor organization and performance.

FULLY SUCCESSFUL PERFORMANCE LEVEL

Performance Standard

Reports are factually correct, clearly identify and state problem areas, trends, etc; and propose recommendations and follow-up actions based on a sound analysis and description of the situation being addressed.

MARGINAL PERFORMANCE LEVEL

In general, marginal performance is characterized as requiring intervention to ensure that the duties as described are performed successfully. The FR displays a lack of knowledge of engineering or related fields, the facility and its operations, and an inability to describe ES&H conditions or problems adequately. Examples of marginal performance for this performance element are described below.

Input to reports fails to provide information which clearly defines problem areas and/or recommends appropriate responsive action.

OUTSTANDING PERFORMANCE LEVEL

In general, the duties of the position consistently are performed in such a way as to: demonstrate a superior knowledge and understanding of engineering or a related field, and the facility; and establish a standard of excellence with respect to situational analysis and creativity and innovativeness of problem resolution.