



Department of Energy

Washington, DC 20585

November 30, 1998

The Honorable John T. Conway
Chairman
Defense Nuclear Facilities Safety Board
625 Indiana Avenue N.W., Suite 700
Washington, D.C. 20004

Dear Mr. Chairman:

In the Revised Implementation Plan (IP) for Board Recommendation 93-3, Improving DOE Technical Capability in Defense Nuclear Facilities Programs, the Department commits to implement policies and procedures to preserve Facility Representative capabilities and positions.

As a deliverable pursuant to Commitment 5.5.1.1 of the IP, the following is a description of how the model policies and procedures to preserve Facility Representative capabilities and positions have been implemented.

Development of model policies and procedures to preserve critical technical skills associated with Facility Representative positions was an internal management action item under the revised 93-3 Implementation Plan. These model policies and procedures were developed and incorporated into a memorandum dated April 21, 1998, a copy of which is enclosed.

The model policies and procedures include sample language to be used as an amendment or modification to Facility Representative position descriptions (and any vacancy announcements issued to fill the positions) describing the knowledge, skills, and abilities required for entry into a Facility Representative position. Those selective factors, along with the unique nature of the duties and functions of the position, distinguish the Facility Representative positions as unique for competitive level purposes and for qualification determinations during a reduction-in-force.

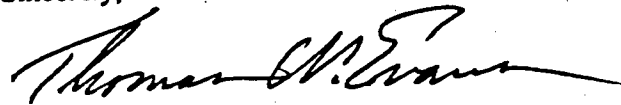
Modifications to position descriptions or competitive levels for 201 Facility Representative positions, based on the model policies and procedures, were reported complete by all appropriate Offices/Field Offices by October 26, 1998. Enclosed is a sample of a revised Facility Representative position description submitted by the Richland Office.



The Department has completed the actions identified under this commitment, and proposes closure of this commitment.

If you have any questions please call me, or your staff may contact Mr. Dave Roth at (202) 426-1506.

Sincerely,



Thomas W. Evans
Executive Secretary to the
Federal Technical Capability Panel

Enclosure

cc: Steve Richardson, Panel Chair
Panel Members
Mark B. Whitaker, Jr., S-3.1 ✓

DOE FORM
FPMR
501.708

United States Government

Department of Energy

memorandum

DATE: APR 21 1998
REPLY TO:
ATTN OF: FM-10(J. Hassenfeldt, 202 586-1643)

SUBJECT: Guidance on Retention of Facility Representative Technical Competence during Reductions in Force

TO: Distribution

The Department's Revised Implementation Plan (IP) for Defense Nuclear Facilities Safety Board Recommendation 93-3 renews the Department's commitment to maintaining the technical capability necessary to safely manage and operate defense nuclear facilities. Retaining highly qualified employees in critical technical skills areas is vital to the maintenance of these technical capabilities. The Department has therefore committed in the revised IP to the development of a model that offices can use to proactively manage and preserve critical technical capabilities.

During the worst case Fiscal Year 1998 Budget scenario, the Department had to quickly prepare for a widespread reduction in force for the first time in over 15 years. Position descriptions, qualification requirements, and competitive level determinations had to be reviewed and documented in a very short period of time. The Department became concerned about the vulnerability of unique critical technical positions under these circumstances. Of particular concern, were DOE's Facility Representative positions. These positions' operational safety role in their assigned facilities is recognized as unique within the Department. Fortunately, the Department was able to cancel the majority of reduction in force actions resulting from the FY 1998 Budget proposals, but the need to review and improve documentation required for any future reductions in force remained.

This memorandum and its attachments focus on the Facility Representative position in order to address the type of documentation necessary to support competitive level determinations and to document special qualification requirements beyond those published by the Office of Personnel Management where applicable. This same process may be applied to other positions, especially other critical technical positions, where duties and qualification requirements are unique. This model is provided as guidance to be used, as necessary, by individual field offices to supplement existing procedures.

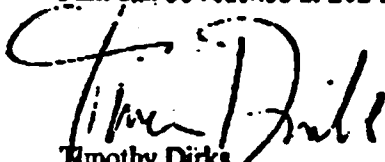
In reviewing the Facility Representative qualifications program, it was determined that a level of knowledge and experience needed to be identified for development of this model. The portions of the qualification process common for all Facility Representatives which must be completed before a candidate can be considered a "Designated Facility Representative" are listed in Attachment 1.

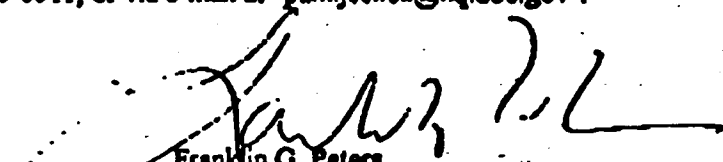
In the reduction in force process, the agency must establish competitive levels based on regulations found in Title 5, Code of Federal Regulations Part 351.403 which defines a competitive level as:

"...all positions in a competitive area which are in the same grade (or occupational level) and classification series, and which are similar enough in duties, qualification requirements, pay schedules, and working conditions so that an agency may reassign the incumbent of one position to any of the other positions in the level without undue interruption."

In order that competitive levels can be properly established, position descriptions must document the duties and functions performed as well as the knowledge required to fully perform the duties of the position, especially where qualifications should be expanded through the use of selective placement factors. The Facility Representative Personnel Guide issued in 1993 provided sample position descriptions as well as information about the possibility of establishing selective placement factors. This memorandum provides sample language that can be used as an amendment to those position descriptions and any vacancy announcements issued to fill the positions describing the knowledge, skills, and abilities required (selective placement factors) for entry into the Designated Facility Representative Position. The selective factors along with the unique nature of the duties and functions of the position distinguish the Designated Facility Representative Positions as unique for competitive level purposes and for qualification determinations during the RIF process. (See Attachment 2.)

Questions regarding this model should be sent to Joe Hassenfeldt, Facility Representative Program Manager, FM-10, or to Pam Jeckell, Assistant Director for Workforce Reinvention, HR-32. Joe can be reached at 202 586-1643, or via e-mail at "joseph.hassenfeldt@hq.doe.gov". Pam can be reached at 202 586-8511, or via e-mail at "pam.jeckell@hq.doe.gov".


Timothy Dirks
Deputy Assistant Secretary
for Human Resources


Franklin G. Peters
Acting Associate Deputy Secretary
for Field Management

Attachments

Distribution w/ Attachments

**V. Reis, DP-1
P. Brush, EH-1
J. Owendoff, EM-1
M. Krebs, ER-1
P. Godley, FE-1
A. Durham, HR-1
H. Canter, MD-1
T. Lash, NE-1
L. Barrett, RW-1**

**B. Twining, Albuquerque Operations Office
J. Kennedy, Chicago Operations Office
J. Wilczynski, Idaho Operations Office
G. Johnson, Nevada Operations Office
J. Turner, Oakland Operations Office
J. Hall, Oak Ridge Operations Office
L. Dever, Ohio Field Office
J. Wagoner, Richland Operations Office
J. Roberson, Rocky Flats Field Office
G. Rudy, Savannah River Operations Office**

cc: w/ Attachments

**R. Gonzalez, OMD, AL
R. Ylimaki, CH
D. Shadley, ID
R. Friedrichs, NV
D. Eddy, OAK
L. Stevens, OH
T. Harris, OR
C. Bosted, RL
R. Bennett, RFFO
P. McEahern, RFFO
C. Izquierdo, FE
L. Quarles, SR
J. Kaysak, EM
K. Kellar, DP
W. Pearce HR
E. Tourigney, NE
J. Arango, S-3.1
F. L. Schwartz, ER**

Servicing Personnel Offices

Attachment 1

Formal Designation as a Department of Energy (DOE) Facility Representative (FacRep)

The training and qualification process required of Department of Energy Facility Representatives varies somewhat throughout the DOE complex. The portions of the qualification process common for all Facility Representatives which must be completed before a candidate can be considered a "Designated Facility Representative" are:

- 1.) The General Technical Base Qualification Standard¹, and**
- 2.) The Facility Representative Functional Area Qualification Standard¹, and**
- 3.) At least six (6) months experience assigned to a Facility Representative position under the tutelage of a FacRep supervisor, FacRep mentor, or senior FacRep at DOE facilities.**

When these three conditions are met, the Field Element Manager may award Designation to the candidate. The Facility Representative Program Manager, in the Office of Field Management, FM-10, should be notified of all Designations for DOE-wide recording purposes. The Field Element Training Organization and Personnel Organization should also be notified to record the training achievement and to assign employees to Designated Facility Representative position descriptions with the established unique competitive level codes.

It is important to note that Designation is not equivalent to "Qualification" as defined in DOE-STD-1063-97, "Establishing and Maintaining a Facility Representative Program at DOE Facilities." Facility Representative Designation will occur BEFORE a Facility Representative achieves full Qualification². Qualification occurs in accordance with each Field Element's Facility Representative Program plan, and will include completion of FacRep Qualification Cards, facility-specific knowledge requirements, examinations, and oral boards.

Note 1. Qualification Standards are to be completed as specified in DOE O 360.1, Training.

Note 2. Individuals previously Qualified as Facility Representatives under DOE-STD-1063 who have met Designation requirements are eligible for Designation by the Field Element Manager. All notifications must be made.

Attachment 2

The Facility Representative Personnel Guide issued in 1993 included sample position descriptions for use in filling Facility Representative positions. The following selective placement factors are samples of factors which may be augmented or tailored to Designated Facility Representative positions at any site. Appropriate selective placement factors must be incorporated into the knowledge required by the position and used to determine basic qualifications for job entry. In addition, the inclusion of these selective placement factors along with the unique nature of the duties and functions of the position support the establishment of unique competitive level codes.

Selective placement factors, when incorporated into the knowledge required for job accomplishment and when supported by the duties and responsibilities of the position, extend the qualification requirements for initial entry into the position as well as entry into the position during reduction in force.

In order to fully perform the functions of this position, the incumbent must demonstrate:

- **Knowledge of the advanced concepts, theories, principles, and practices of engineering or related physical science fields sufficient for independent technical evaluations of all aspects of nuclear and/or non-nuclear facility design, construction, maintenance and operation activities for facilities associated with Department of Energy activities.**
- **Knowledge of safety analysis principles and techniques sufficient to describe the basis, function, and operational characteristics of safety systems in the event that emergencies preclude immediate access to relevant plans and specifications.**
- **Knowledge of laws and regulations relating to occupational safety and health, environmental compliance, nuclear safety, and industry standards applicable to conduct of operations/maintenance at assigned facilities.**
- **Ability to operate independently at assigned facilities, serving as DOE technical expert regarding operational safety, day-to-day operational oversight, problem identification, analysis, and problem solving.**

Completion of the requirements for "Designated Facility Representative" could be evidence of meeting the above selective placement factors.



WORK SCOPE DELIVERABLES

Because specific tasks of a position differ depending upon the function/type of work performed in a given organization, they are described in a separate document entitled Work Scope Deliverables (WSD). The WSD serves three purposes: a) provides a communication tool between the supervisor and employee regarding job expectations; 2) supplements information contained in the Position Description; and 3) provides a link to each employee's Performance Appraisal Plan (Job Specific Element # 5 for Non-Supervisory Employees; and Job Specific Element #6 for Supervisory Employees).

POSITION TITLE, SERIES, GRADE	POSITION NUMBER	ORGANIZATION NAME/CODE
Facility Representative GS-14		
ORGANIZATION'S PURPOSE STATEMENT:		
DELIVERABLES : (These are the primary tasks of the employee in contributing to or supporting the purpose of the Organization)		
<p>The Facility Representative (FR) is primarily tasked with implementing the FR Program as contained in RLID 1300.1 and in the FR Instructions. These duties include performing as RL Management's in-facility evaluators of facility operations, safety, and effectiveness. To perform these duties, the FR has to have extensive operational experience and a thorough knowledge of DOE requirements, facility equipment, and contractor personnel performance.</p> <p>The FR is to be aware of all facility conditions and report any significant changes to DOE management. This task requires the FR to understand functions of facility equipment, engineered safety features, administrative controls and actual performance both on day shift and back shifts. The FR will need to daily read all pertinent logbooks, review work orders, be aware of changes in equipment and the significance of any changes to safety and emergency equipment.</p> <p>In the event of a facility emergency, the FR will staff the position of the Incident Command Post RL Representative. The FR will respond to the Incident Command Post and provide an independent evaluation to the Emergency Operations Center. To adequately perform this task, the FR must have a thorough understanding of the preplanned emergency response procedures, understand facility hazards, and be able to evaluate the actions of the contractor's staff to combat the conditions.</p> <p>The FR will periodically be assigned as the on-call Duty Officer for the Division. In this role, the FR will have to respond to upset and emergency conditions at all Division facilities. This requires the FR to be knowledgeable of all the Division facilities. The FR will have to stand in for the regularly assigned facility FR on an as needed basis.</p> <p>The FR will be responsible for completing the normal assessment plan for the facility as described in the FRIs, and documenting these activities in both the FR logbook and the monthly report to RL and contractor management. The FR will normally lead assessments on their own and other facilities. This requires the FR to be certified as a Lead Auditor. The FR can also be a member of accident investigation teams and can be certified to lead them. The FR will normally review and accept or reject facility Occurrence Reports. These are normally included in the monthly report on FR oversight activities. The FR will need to be qualified on the DOE ORPS system.</p> <p>The FR will train, or assist in training, assigned FR candidates and participate in the FR certification process as required. The FR will attend periodic FR meetings to maintain awareness of current site wide issues and maintain qualifications on assigned facilities. The FR will maintain qualification in their facility and requalify on a periodic basis.</p>		

**General Engineer/Physical Scientist
(Facility Representative)
GS-0801/1301-14
Richland Operations Office**

Purpose of Position:

Serves as line management's on-site senior technical representative with responsibility for identifying and evaluating environmental, safety and health issues and concerns. Technical presence requires the incumbent to make informed judgements needing an expert level of technical competence regarding safety of operations. These operations are conducted in highly complex, unique facilities whose hazards to workers, the public, and the environment are non-routine and where potentially harmful consequences are significant.

Major Duties and Responsibilities:

Utilizing a knowledge of professional engineering and scientific disciplines conducts daily on-site performance based evaluation of facilities and operations encompassing highly specialized or unique requirements.

- Responsible for producing assessment plans, conducting assessments and following corrective actions, and meeting schedules as directed by management.
- Directs work of others assigned to facility(ies) as a team leader.
- Monitors, observes and assesses operating conditions, including environmental, safety and health issues and concerns.
- Participates in investigations of events to diagnose root causes and follows through to ensure proper corrective actions were taken.
- Recommends both short-term compensatory measures and ultimate solutions to DOE site management.
- Performs continuous, independent, and technically-based observations that are performed through unscheduled inspections or "walk-throughs" of the facility(ies).
- Evaluates facility(ies) and operations from the standpoint of public/personnel health and safety, nuclear and industrial safety, quality assurance, environmental protection, facility modifications and maintenance, formality of operations and management areas.
- Ensures compliance with DOE Orders, contract provisions, and standards through the inspection process.
- Generates written evaluations identifying inadequacies or weaknesses and resolves directly with the contractor Facility Manager or, if necessary, elevates through DOE line management.

- Participates in meetings with contractors and project sponsors to assure adherence to quality assurance, environmental health and safety requirements, schedules, and designs.
- Responds to facility events and facilitates the notification and reporting of occurrences and any safety or operational concerns.
- Responds to Inspector-General, audits and Congressional inquiries.
- Participates as expert consultant and program evaluator in Inspector-General investigations and other special reviews.
- Keeps abreast of emerging technologies.
- Attends shift turnover meetings; reviews operational logs; and reports observations.
- Provides guidance to other employees.
- Authority to order "stop work" of operations when imminent danger is judged to exist.

Utilizing a knowledge of professional engineering and scientific disciplines, the employee serves as a technical consultant to activities concerning facilities planning, design, construction, operations and/or maintenance for different categories of facilities.

- Advises senior DOE officials, and represents the DOE Contracting Officer Representative, for assigned facility(ies), or activities and actions that warrant prompt attention, with recommendations as to solutions of critical problems, and possible follow up action.
- Provides professional consultations on a broad range of difficult technical issues and problems.
- Provides technical input to RL, DOE, and/or government-wide publications, guidance and criteria.
- Relied upon as the expert source on observations and assessments of contractor or RL environmental, health, and safety related performance as recommendation for award fee determination.

Investigates off-normal and unusual occurrence situations and employee concerns.

- Participates in the investigation and review of events or conditions having facility operations or environmental, health and safety considerations.
- Participates in group investigations to unusual occurrence situations or accident investigation teams.
- Participates on selected teams assessing the facility's operational, safety, quality,

environmental, or security posture.

- Observes, evaluates, and reports on the effectiveness of the operating contractor in the areas of operational performance, quality assurance, management controls and worker health and safety.

Reviews plant modification packages and facility(ies) projects for substantial new construction, renovations and improvements for real property facilities encompassing highly specialized or unique requirements.

- Reviews requirements and management plans.
- Monitors project(s) through all construction phases to assure compliance with contract provisions and standards.
- Participates in meetings with contractors and project sponsors to assure adherence to quality assurance, environmental health and safety requirements, schedules, and designs.

Ensures all events are properly and accurately reported.

- Initial single point of contact between contractor and DOE for all event notification and is available to respond to the facility(ies) around the clock.
- Serves as DOE expert regarding operational activities and problem identification, analysis resolution and tracking, and problem solving.
- Assists programmatic line management in communications with appropriate level of DOE management up through the RL Manager and HQ Program Manager.

The Facility Representative is required to participate in, and qualify under the DOE Technical Qualification Program (TQP) in the: 1) General Base Technical Qualification Standard, 2) Primary and Secondary Functional Area Qualification Standard, and 3) Office/Facility Specific Qualification Standards. The Facility Representative is required, as a minimum, to meet the requirements of the Facility Representative Qualification Standard. Other qualification standards will be determined by the Division Director/Assistant Manager.

Factor 1, Knowledge Required by the Position

Level 1-8, 1550 points

General Technical

Mastery of two or more engineering and/or scientific disciplines, including advanced concepts, principles, and practices of engineering/science so as to be able to serve as an expert to resolve difficult facilities engineering problems and issues, and monitor and evaluate complex facilities engineering programs and projects.

Knowledge of related engineering and scientific concepts and their application to safety analysis reports and plant protective systems.

Regulatory

- Knowledge of environmental, safety and health principles, practices, procedures, laws, regulations, and current legislative issues.

Ability to apply new technologies to problems not resolvable through conventional methods.

Ability to research, analyze, interpret and apply rules, regulations, and procedures.

Knowledge of standard contracting regulations, practices, and procedures.

Administrative

Ability to use project/program planning and budgeting cycles, financial control and budget systems, and other management tools to accomplish programing, determine resources, and perform long-range planning.

Knowledge of construction standards, methods, practices and techniques, materials, and equipment to determine compliance with regulations and standards.

Ability to communicate and interact successfully with others at all organizational levels, both internally and externally in order to negotiate changes and modifications in policies and practices, participate in problem resolution, and convey requirements and recommendations in a technically competent manner under stressful conditions.

Ability to communicate in writing in order to develop, organize, and present ideas and technical information in written form, and present issues and recommendations for solution to complex technical problems.

Knowledge of automated data processing concepts, systems capabilities, and economic usage to effectively accomplish assigned functions.

Ability to plan and organize work.

Ability to maintain good working relations.

Management, Assessment, and Oversight

Ability to monitor and evaluate the overall effectiveness of the operating contractor in procedural adequacy and compliance, training, qualifications activities, safety aspects of daily operations, and implementing corrective actions to identified deficiencies.

Knowledge of assessment (compliance and performance) principles and techniques necessary to identify facility and program deficiencies, best practices, and potential systemic causes to identify corrective actions.

Knowledge of the operations, products, services, needs, and goals of the project(s)/program(s) and the facility(ies) studied or served, and related customers, functions, resources, and users.
Knowledge of inspection techniques used to identify event precursors.

Ability to plan, lead, conduct and record surveys, incident investigations, safety inspections and management review and appraisal techniques.

Ability to lead special audits or assessments as directed by management.

Ability to analyze problems and to develop timely and economical solutions.

Factor 2, Supervisory Controls

Level 2-5, 650 points

Supervisor provides administrative direction with assignments in terms of broadly defined missions or functions. The employee has responsibility for planning, designing and carrying out programs, projects, studies, or other work independently. Results of the work are considered as technically authoritative and are normally accepted without significant change. If the work should be reviewed, the review concerns such matters as fulfillment of project/program objectives, effect of advice and influence of the overall program, or the contribution to the advancement of technology. Recommendations for new projects and alteration of objectives are usually evaluated for such considerations as availability of funds and other resources, broad program goals or national priorities.

Factor 3, Guidelines

Level 3-4, 450 points

Guidelines are broad national, agency, and local directives for operating and maintaining facilities in a safe and environmentally sound manner. The individual must frequently use ingenuity and experience in making decisions where unusual or controversial technical issues are involved. In many areas, the individual may be required to interpret the guidelines and select the most appropriate method of accomplishing the work. For some activities, little or no guidance may be available and a knowledge of the total program requirements may be the basis for making decisions.

Factor 4, Complexity

Level 4-5, 325 points

Assignments are of such breadth, diversity and intensity that they involve many varied and complex features. The work requires that the employee be especially versatile and innovative in adapting, modifying, or making compromises with standard guides and methods or originate new techniques or criteria. Assignments typically contain a combination of complex features which involve serious or difficult-to-resolve conflicts between engineering/scientific and management requirements.

Factor 5, Scope and Effect

Level 5-5, 325 points

Purpose of the work is to resolve critical problems or to develop new approaches or methods for use by others. Often serving as a consultant or coordinator, the employee provides expert advice

and guidance to officials, managers and other engineers within or outside the agency, covering a broad range of complex and critical activities. Results of the efforts affect the work of others experts both within and outside the agency or the development of major aspects of agency environmental management programs.

Factor 6, Personal Contacts

Level 6-3, 60 points

Personal contacts include a variety of officials, managers, professionals or executives within DOE, contractors, other agencies and outside organizations, state agencies, and private industry. Contacts are often unstructured or undefined in advance. A high degree of diplomacy and tact are required for satisfactory resolution of controversial matters.

Factor 7, Purpose of Contacts

Level 7-4, 220 points

Purpose is to provide technical expertise on facility activities; recommend solutions on complex issues and problems; keep senior management apprised on program status; and coordinate and obtain agreement on operational plans, maintenance and construction projects. The employee is required to represent DOE-RL as an expert on assigned facility(ies). Influences or persuades other technical employees to adopt technical points and methods about which there are conflicts, to negotiate agreements with Project Managers and contractors where there are conflicting interests and opinions among organizations or among individuals who are also experts in the field, or to justify the feasibility and desirability of work proposals.

Factor 8, Physical Demands

Level 8-2, 20 points

Regular and recurring physical exertion, such as long periods of standing; climbing vertical ladders and scaffolding; crouching, bending, stretching, or stooping; and moving in physically restrictive areas where individual must be alert in order to maintain secure footing.

Factor 9, Work Environment

Level 9-2, 20 points

Regular and recurring exposure to risks and/or discomforts which require special safety precautions, working around moving parts or machines, irritant chemicals and radiation. Required to use special protective clothing or gear for radioactive and/or hazardous materials. The employee is required to wear a multi-purpose dosimeter, necessitating an annual physical examination.

Work occasionally requires travel away from the normal duty station. Shift work may be required. The employee may be required to work other than normal duty hours, which may include evenings, weekends, and/or holidays. Overtime may be required. The employee must file the required financial disclosure statement.

NON-SUPERVISORY PERFORMANCE APPRAISAL PLAN (INCLUDES TEAM LEADERS, PROGRAM/PROJECT MANAGER)

U.S. Department of Energy

PERFORMANCE APPRAISAL PLAN

NON-SUPERVISORY

1. Name:

2. Pay Plan/Series/Grade:

3. Rating Period:

To:

Operational definitions are provided to illustrate examples of behaviors that correspond to the optimum end of the rating scale. Several behaviors are listed for each criteria to provide examples for a variety of situations. Therefore, all of the examples may not apply to you.

**NOTE: BEHAVIORAL ELEMENTS (#1-4) WILL RECEIVE 50% OF THE TOTAL WEIGHTED SCORE
JOB SPECIFIC ELEMENT (#5) WILL RECEIVE 50% OF THE TOTAL WEIGHTED SCORE**

SAFETY

BEHAVIORAL ELEMENT NUMBER

1. WORKS SAFELY

- Makes Safety #1 priority; demonstrates by example
- Observes safety requirements for job -- i.e., Federal Employees Occupational Safety and Health (FEOSH) requirements
- Can identify risks and mediate them
- Maintains a safe office environment
- Demonstrates caring concern for others' safety
- Avoids careless/unsafe behavior
- Elevates safety concerns appropriately

TOTAL QUALITY

BEHAVIORAL ELEMENT NUMBER

2. TOTAL QUALITY MANAGEMENT

- Committed to continuous improvement through empowerment
- Open to suggestions and works with others to implement new ideas
- Promotes new and creative ideas
- Has good judgement about implementing ideas/suggestions
- Ability to visualize how potential ideas may play out in the workplace

3. DEALING WITH CHANGE

- Can effectively deal with change
- Effectively handles risk and uncertainty with minimal impact to others
- Is an effective leader

4. CUSTOMER FOCUS

- Effective in meeting expectations/requirements of internal and external customers
- Gets customer requirements and uses this information for improvements to the products/services
- Establishes and maintains effective relationships with customers
- Seeks feedback

INTERPERSONAL

BEHAVIORAL ELEMENT NUMBER

5. INTEGRITY AND TRUST

- Seen as a direct and truthful individual
- Presents truth in an appropriate and helpful manner
- Maintains confidentiality
- Doesn't blame others for own mistakes
- Practices what he/she preaches

6. CONFLICT MANAGEMENT

- Identifies and is instrumental in resolving conflicts
- Negotiates agreements and settle disputes equitably
- Acknowledges other viewpoints
- Can win concessions without damaging relationships
- Can diffuse high-tension situations

7. APPROACHABILITY

- Easy to approach and talk to
- Spends extra effort to put others at ease
- Sensitive to and patient with others
- Builds rapport
- Uses diplomacy and tact

8. BUILDING TEAM SPIRIT

- Promotes strong team unity and spirit
- Shares wins and successes
- Recognizes others
- Values team members
- Fosters open dialogue
- Lets people be responsible for their work

9. DIVERSITY

- Supports and ensures zero tolerance for discrimination in any form, and a work environment free of conflict, hostility, or harassment
- Promotes diversity of thought, openness, fairness, and participation of all employees in organizational processes

COMMUNICATION

BEHAVIORAL ELEMENT NUMBER

10. WRITTEN COMMUNICATIONS

- Is able to write clearly and succinctly
- Gets messages and the desired effect across
- Provides the information people need to know to do their jobs
- Provides direct feedback and information in a timely manner
- Information is accurate and meaningful

11. ORAL COMMUNICATIONS

- Effective in a variety of presentation settings: one-on-one, small and large groups with peers, direct reports, upper management
- Maintains focus of communication
- Presents themselves clearly and concisely
- Provides the information people need to know to do their jobs
- Provides direct feedback and information in a timely manner
- Information is accurate and meaningful

12. LISTENING

- Practices attentive and active listening
- Patience to hear people out
- Doesn't interrupt

POSITION COMPETENCE

JOB SPECIFIC ELEMENT NUMBER

13. PLANNING

- Identifies obtainable objectives and goals
- Simplifies complex processes by breaking down work into manageable steps
- Can effectively plan and layout needed resources (time, cost, people)

14. PROCESS MANAGEMENT

- Identifies and implements processes and resources necessary to obtain goals
- Effectively organizes people and activities
- Separates and combines tasks into efficient work flow
- Measures performance against goals and evaluates results
- Gets more out of fewer resources
- Can change tactics midstream when something isn't working

15. BUSINESS ABILITY

- Knowledgeable in current procedures, policies, practices, trends, and information affecting the organization
- Aware of how strategies and tactics affect the workplace

16. TIME MANAGEMENT

- Uses time effectively and efficiently
- Sets priorities
- Separates the critical few from the trivial many and concentrates efforts accordingly

17. PERFORMS ASSIGNED TASKS

- Effectively and efficiently performs assigned tasks
- Completes assignments in a timely manner
- Effectively utilizes resources (people, funding, material, support)
- Maintains state-of-the-art skills and knowledge
- Uses knowledge/skills at hand to do the job
- Can simultaneously coordinate multiple activities to accomplish a goal

PERFORMANCE APPRAISAL PLAN

Rating Period:

18. DECISION MAKING

- Makes good decisions based upon a mixture of analysis, knowledge, experience, and judgement
- Makes decisions in a timely manner
- Sought out for advice and solutions

19. PROVIDES CLEAR GUIDANCE TO CONTRACTORS AND/OR TEAM MEMBERS

- Provides clear description of work requirements
- Provides sufficient level of detail to ensure high quality of work
- Provides constructive feedback to improve performance

CERTIFICATION OF DISCUSSION AND ISSUANCE OF ELEMENTS/STANDARDS

I have received a copy of my elements and standards for this evaluation period and have been provided an opportunity to discuss them with the rating official.

(Signature of Employee)

(Date)

(Signature of Rating Official)

(Date)

Department of Energy - Richland

360° Feedback - Non-Supervisory

Employee being rated (Ratee): _____

Rating Period: 10/1/97-3/31/98

What is your relationship to the person being rated?	
_____ Self	"I am evaluating myself."
_____ Supervisor	"I am evaluating my direct report employee."
_____ Team Leader/Program Manager	"I am the team leader for person being rated"
_____ Colleague/Peer/Customer	"I am evaluating a colleague/peer/customer."
_____ Employee	"I am evaluating my supervisor."

Please circle the appropriate performance score with 10 being the most competent and 1 being the least competent. A score of 1 indicates the performance of this behavior is essentially poor, a 10 indicates outstanding or excellent performance. If you feel you lack the sufficient knowledge to evaluate an area, please select "N" for that criterion.

Your individual responses will remain anonymous, only composite information will be returned to the person being evaluated.

How well does this person perform this behavior? Please use the following scale for your evaluation:

Not Observed	Does Not Meet Expectations	Partially Meets Expectations	Performance Meets Expectations	Performance Exceeds Expectations	Performance Exceeds Expectations	Performance Exceeds Expectations	Performance Exceeds Expectations	Performance Exceeds Expectations	Consistently Exceeds Expectations

SAFETY

1. WORKS SAFELY

N 1 2 3 4 5 6 7 8 9 10

- Makes Safety #1 priority; demonstrates by example
- Observes safety requirements for job -- i.e., Federal Employees Occupational Safety and Health (FEOSH) requirements
- Can identify risks and mediate them
- Maintains a safe office environment
- Demonstrates caring concern for others' safety
- Avoids careless/unsafe behavior
- Elevates safety concerns appropriately

TOTAL QUALITY

2. TOTAL QUALITY MANAGEMENT

N 1 2 3 4 5 6 7 8 9 10

- Committed to continuous improvement through empowerment
- Open to suggestions and works with others to implement new ideas
- Promotes new and creative ideas
- Has good judgment about implementing ideas/suggestions
- Ability to visualize how potential ideas may play out in the workplace

3. DEALING WITH CHANGE

N 1 2 3 4 5 6 7 8 9 10

- Can effectively deal with change
- Effectively handles risk and uncertainty with minimal impact to others
- Is an effective leader

4. CUSTOMER FOCUS

N 1 2 3 4 5 6 7 8 9 10

- Effective in meeting expectations and requirements of internal and external customers
- Gets customer requirements and uses this information for improvements to the products/services
- Establishes and maintains effective relationships with customers
- Seeks feedback

INTERPERSONAL

5. INTEGRITY AND TRUST

N 1 2 3 4 5 6 7 8 9 10

- Seen as a direct and truthful individual
- Presents truth in an appropriate and helpful manner
- Maintains confidentiality
- Doesn't blame others for own mistakes
- Practices what he/she preaches

6. CONFLICT MANAGEMENT

N 1 2 3 4 5 6 7 8 9 10

- Identifies and is instrumental in resolving conflicts
- Negotiates agreements and settles disputes equitably
- Acknowledges other viewpoints
- Can win concessions without damaging relationships
- Can diffuse high-tension situations

7. APPROACHABILITY

N 1 2 3 4 5 6 7 8 9 10

- Easy to approach and talk to
- Spends extra effort to put others at ease
- Sensitive to and patient with others
- Builds rapport
- Uses diplomacy and tact

8. BUILDING TEAM SPIRIT

N 1 2 3 4 5 6 7 8 9 10

- Promotes strong team unity and spirit
- Shares wins and successes
- Recognizes others
- Values team members
- Fosters open dialogue
- Lets people be responsible for their work

9. DIVERSITY

N 1 2 3 4 5 6 7 8 9 10

- Supports and ensures zero tolerance for discrimination in any form, and a work environment free of conflict, hostility, or harassment
- Promotes diversity of thought, openness, fairness, and participation of all employees in organizational processes

COMMUNICATION

10. WRITTEN COMMUNICATIONS

N 1 2 3 4 5 6 7 8 9 10

- Is able to write clearly and succinctly
- Gets messages and the desired effect across
- Provides the information people need to know to do their jobs
- Provides direct feedback and information in a timely manner
- Information is accurate and meaningful

11. ORAL COMMUNICATIONS

N 1 2 3 4 5 6 7 8 9 10

- Effective in a variety of presentation settings: one-on-one, small and large groups, with peers, direct reports, upper management
- Maintains focus of communication
- Presents themselves clearly and concisely
- Provides the information people need to know to do their jobs
- Provides direct feedback and information in a timely manner
- Information is accurate and meaningful

12. LISTENING

N 1 2 3 4 5 6 7 8 9 10

- Practices attentive and active listening
- Patience to hear people out
- Doesn't interrupt

13. PLANNING

N 1 2 3 4 5 6 7 8 9 10

- Identifies obtainable objectives and goals
- Simplifies complex processes by breaking down work into manageable steps
- Can effectively plan and layout needed resources (time, cost, people)

14. PROCESS MANAGEMENT

N 1 2 3 4 5 6 7 8 9 10

- Identifies and implements processes and resources necessary to obtain goals
- Effectively organizes people and activities
- Separates and combines tasks into efficient work flow
- Measures performance against goals and evaluates results
- Gets more out of fewer resources
- Can change tactics midstream when something isn't working

15. BUSINESS ABILITY

N 1 2 3 4 5 6 7 8 9 10

- Knowledgeable in current procedures, policies, practices, trends, and information affecting the organization
- Aware of how strategies and tactics affect the workplace

16. TIME MANAGEMENT

N 1 2 3 4 5 6 7 8 9 10

- Uses time effectively and efficiently
- Sets priorities
- Separates the critical few from the trivial many and concentrates efforts accordingly

17. PERFORMS ASSIGNED TASKS

N 1 2 3 4 5 6 7 8 9 10

- Effectively and efficiently performs assigned tasks
- Completes assignments in a timely manner
- Effectively utilizes resources (people, funding, material, support)
- Maintains state-of-the-art skills and knowledge
- Uses knowledge/skills at hand to do the job
- Can orchestrate multiple activities at once to accomplish a goal

18. DECISION MAKING

N 1 2 3 4 5 6 7 8 9 10

- Makes good decisions based upon a mixture of analysis, knowledge, experience, and judgment
- Makes decisions in a timely manner
- Sought out for advice and solutions

**19. PROVIDES CLEAR GUIDANCE TO
CONTRACTORS AND/OR TEAM
TEAM MEMBERS**

N 1 2 3 4 5 6 7 8 9 10

- Provides clear description of work requirements
- Provides sufficient level of detail to ensure high quality of work
- Provides constructive feedback to improve performance

General

Comments: _____

