



2010-1

Department of Energy
Southwestern Power Administration
One West Third Street
Tulsa, Oklahoma 74103-3502

December 14, 2009

Ms. Beverly Yenter
Glenpool, OK 74033

RE: FOIA Request dated November 16, 2009

Dear Ms. Yenter:

I am responding to your Freedom of Information Act (FOIA) request dated November 16, 2009.

You requested copies of the performance standards and ratings for rating period (10/1/08 to 9/30/09) for Gary Swartzlander and Carrie Quick.

A redacted copy of the performance standards for rating period (10/1/08 to 9/30/09) is enclosed for Gary Swartzlander and Carrie Quick pursuant to Exemption 6 of the Freedom of Information Act, 5 U.S.C. 552(6). Also 10 CFR 1004(b)(6), the Departmental regulations implementing FOIA.

Exemption 6 authorizes the withholding of personal information of individuals found in "personal and medical and similar files" where the disclosure of such information would constitute a clearly unwarranted invasion of personal privacy."

Pursuant to 10 C.F.R. 1004.10(b)(6), Southwestern has determined that some of the information you requested is exempt from mandatory public disclosure. The Freedom of Information Act Regulations at 10 C.F.R. 1004.8(a) state that you may appeal the decision to withhold this information. Such appeal must be made in writing, within 30 calendar days of the receipt of this letter to the Director, Office of Hearing and Appeals, Department of Energy, 1000 Independence Ave., S.W., Washington, DC 20585-0107. If after your appeal to the Director, you believe a further appeal is necessary, then judicial review in a district court will be available either with the district in which you reside or in the District of Columbia.

I am the person responsible for the disposition of your request as set forth in this response.

Sincerely,

Martha Ayers

Martha Ayers
Freedom of Information Act Officer

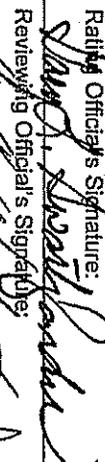
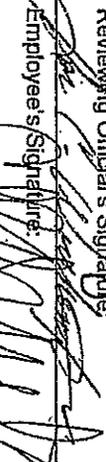
U.S. Department of Energy Managerial/Supervisory Performance Appraisal Form

Managerial/Supervisory Performance Appraisal Form
Revised 03/11/08 (Previous Edition Obsolete)

Name: Carrie Quick		Title: Director	
Organization: Division of Human Resources Management		Duty Station: Tulsa	
Performance Rating Period:	From: 10/1/08	To: 9/30/09	

Performance Agreement Certification:
This confirms that we have met and discussed expectations for the established performance appraisal period.

Acknowledgement of Performance Plan:
The employee has been afforded the opportunity to discuss the critical elements and standards with the Rating Official and has received a copy of this plan. The following signature block should be signed within 30 days from the start of the appraisal period, regardless of whether a new employee or upon a normal change of this plan. By signing below, the Rating Official and the employee acknowledge the discussion of the assigned Program/Account/Competitive Managerial/Supervisory Attributes and Safety/critical elements.

Rating Official's Name (Typed or Printed): Gary L. Swatzlander	Rating Official's Signature: 	Date: 12/18/08
Reviewing Official's Name (Typed or Printed): Jon C. Worthington	Reviewing Official's Signature: 	Date: 12/18/08
Employee's Name (Typed or Printed): Carrie Quick	Employee's Signature: 	Date: 12/18/08
<input type="checkbox"/> Employee declined to sign form. <input type="checkbox"/> Employee not available to sign form.		Comments:

Privacy Act Statement
This form is subject to the provisions of the Privacy Act. Copies will be retained and provided for review and retention as required to appropriate management officials having a need to know. This gathers and records information on how Departmental employees are performing their duties and responsibilities. The information will be used to determine eligibility entitlement to awards, and compensation benefits. The authority to collect this information is contained in Title IV of the Civil Service Reform Act of 1978. The information will not be disclosed outside the Department without prior consent except as required or permitted by law.

Cascaded Organizational Goals

The employee performance plan must align with (i.e., support) organizational goals and targets that are established in an organization's annual performance plan and/or that have been included in the Senior Executive Service (SES) members performance plan. Alignment should be transparent so that the employee knows what he/she is to accomplish in order to support the goal.

To demonstrate the cascaded goal alignment:

- (1) select the appropriate DOE Strategic Goal if applicable to this performance plan, then (if appropriate)
- (2) annotate the title of the alignment document, goal number, and the text of the specific goal.

- DOE Strategic Goal #1. Energy Security: Promoting America's energy security through reliable, clean, and affordable energy.
- DOE Strategic Goal #2. Nuclear Security: Ensuring America's nuclear security.
- DOE Strategic Goal #3. Scientific Discovery & Innovation: Strengthening U.S. science discovery, economic competitiveness, and improving quality of life through innovations in science and technology.
- DOE Strategic Goal #4. Environmental Responsibility: Protecting the environment by providing a responsible resolution to the environmental legacy of nuclear weapons production.
- DOE Strategic Goal #5. Management Excellence: Enabling the mission through sound management.
- Major Program Goal (e.g., EM, FE, NE, RW):
- Organizational Goal (e.g., CFO, HC, Idaho, NETL, SR):
- SES Plan:
- Name and Title:
- Goal:

Critical Element I • Program Accomplishments

Instructions: Sub-elements, which must be linked to organizational goals and plans, may be expressed as one clause or sentence, but must be sufficiently descriptive to allow them to be distinguished from one another. Performance/organizational goals must be achievable and include information on measurable outcomes such as program improvements, cost reductions, improved timeliness, and improved customer/advisory services. Each sub-element under the Program Accomplishments critical element is of equal importance and accordingly will be weighted equally in the overall assessment of this critical element.

Goal Linkage	Results-Focused Critical Element with Credible Measure(s) "Meets Expectations" Performance Level
<p>1. Directs Human Resources Management Program</p> <p>DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence);</p> <p>Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	
<p>2. Directs Training and Developmental Program</p> <p>DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence);</p> <p>Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	
<p>3. Directs Labor Relations Program</p> <p>DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence);</p> <p>Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	
<p>4. Directs Personnel Security Program</p> <p>DOE Strategic Goal #1 (Energy Security)</p>	

<p>and #5 (Management Excellence): Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	
<p>5. Develops and executes Divison Budget DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence); Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	

Generic Safety Standard - Line Manager/Supervisor Executes Safety Responsibilities

This manager/supervisor executes safety responsibilities. This safety standard is incorporated into Critical Element 1 - Program Accomplishment Sub-Element and is rated as SE, ME, NI, or FME. ~~Note: A rating of FME for this sub-element will result in a grade of Unsatisfactory on FME.~~

Critical Element	Standard
<p>Eliminate workplace accidents, injuries, illnesses, unplanned releases to the environment and strengthen regulatory enforcement actions.</p>	<p>Manager will be rated on the following:</p> <ul style="list-style-type: none"> • Implements functional plan to improve federal and contractor ES&H performance. • Ensures appropriate performance measures and goals are established and are effectively utilized within the functional unit to monitor federal and contractor ES&H performance in accordance with Department Policy 450.7 and contract provisions, respectively. • Ensures adequate performance data is collected and analyzed within the functional unit to identify deficiencies and weak safety performance areas before the occurrence of serious mishaps. • Ensures ES&H performance is systematically evaluated against established goals and appropriate actions are taken in a timely manner to address negative trends and significant performance efficiencies. Corrective actions are completed in accordance with approved schedules and organizational safety strategies to prevent recurrences. • Ensures processes have been established and effectively implemented to assure federal compliance and effective performance of ES&H expectations. • Encourages prompt identification and investigation of unsafe or unhealthy working conditions and prevents harassment, intimidation, retaliation or discrimination toward individuals who report such conditions.

<input checked="" type="checkbox"/> Generic Safety Standard - Manager/Supervisor in a Support Position: does not execute safety as a primary job responsibility.	
This safety critical element is rated as "Met" or "Not Met". Note: In accordance with 5 CFR 24.301-208(d) this safety critical element is recorded into the overall Summary Rating of Record. A rating of "Not Met" for this critical element will result in an overall Summary Rating of "ME".	
Critical Element	Standard
Supports line managers in conducting HSS responsibilities, as applicable, to ensure a safe and healthy environment of DOE federal and contractual workforces.	<p><u>Manager will be rated on the following:</u></p> <ul style="list-style-type: none"> • Supports the implementation of a functional plan by line support managers to improve the HSS performance of federal and contract employees, as applicable. • Identifies and provides training and developmental opportunities to assure the staff is knowledgeable of safety responsibilities, workplace hazards and controls, emergency response procedures, and the Headquarters FEOSH Program, as required or appropriate. • Ensures the staff complies with the Headquarters FEOSH program, safety and health requirements, and occupant emergency plan. • Encourages the identification and reporting of unsafe or unhealthy working conditions and prevents harassment, intimidation, or discrimination towards individuals who report such conditions. • Supports investigation of accidents and the implementation of action to prevent recurrences. • Addresses employee reports of alleged usage conditions with assistance from the Headquarters Occupational Safety and Health Manager, as appropriate.

Critical Element II • Managerial/Supervisory Attributes

Instructions: Each of the sub-elements that follow describes an attribute required of all effective managers. At the beginning of the performance appraisal period, Employees and Rating Officials should review and discuss each sub-element attribute to assure a mutual understanding of the generic performance standards provided for each. Also during these discussions, the need for additional standards should be determined and documented as amendments to the appropriate attributes' performance standards. Each sub-element under the Management critical element is of equal importance, and accordingly, will be weighed equally in the overall assessment of this critical element.

Cluster 1 – Subject Matter Expertise

Meets Expectations Standards:

Demonstrates Functional Competence

- Demonstrates expertise in his/her functional area, leveraging unique core of knowledge and skills to achieve results.
- Keeps up-to-date in areas of expertise.
- Seeks input from manager, peers, and others regarding new developments, techniques, technologies and similar advancements in area of expertise.
- Responds to requests for assistance in area of expertise in a timely manner by administering and actively passing on expertise to others.
- Seeks assignments that make good use of expertise, engaging in an appropriate mix of challenging and comfortable assignments providing any assistance to clients/customers.

Exhibits Analytical Ability and Solves Problems

- Gathers and effectively analyzes multiple data sources to determine root cause of problems.
- Communicates and shares effective problem-solving processes. Generates alternative solutions and seeks input from others.
- Typically anticipates the consequences or impact of a suggested course of action.
- Collaborates with peers and others in problem-solving efforts that support positions/recommendations for desired results.
- Consistently shares thoughts and supports recommendations with sound rationale.
- Makes sound decisions in the face of ambiguity and uncertainty.
- Appropriately escalates problems or resource issues for resolution.

Innovates

- Consistently generates creative ideas for systems, services, or work processes.
- Explores and supports new ideas and initiatives. Identifies areas for improvement within own area of expertise/job function.
- Looks outside area of expertise to identify new ideas and initiatives.
- Creates an open environment for people to voice new ideas.
- Takes prudent risks to create new value for customers.

Critical Element II • Managerial/Supervisory Attributes (cont'd)

Cluster 2 – Customer Service and Communication

Meets Expectations Standards:

Serves Customers and Builds Partnerships

- Secures commitments that are realistic and attainable, and keeps them, delivering on time with quality.
- Responds quickly to customer/partner concerns and requests, reacting constructively to changes in needs and priorities.
- Consistently helps customers and partners overcome problems or difficulties.
- Keeps customers and partners up to date on progress.
- Provides respect to customers and partners, maintaining composure and objectivity in challenging situations.
- Solicits feedback on the quality of service provided and takes corrective action, seeking help if needed.

Communicates Effectively

- Presents his/her positions in a concise and convincing manner, orally and in writing.
- Generates written materials that only occasionally require limited revision.
- Uses professional wording and tone.
- Listens to others' viewpoints and seeks to clarify for understanding.
- Is able to successfully support own positions in a non-confrontational manner.
- Uses communication methods (e.g., e-mail, voice mail, meetings) appropriate to the situation.

Critical Element II • Managerial/Supervisory Attributes (cont'd)

Cluster 3 – Resources Management Skills

Meets Expectations Standards:

Demonstrates Personal Leadership

- Serves as an example for others in demonstrating high levels of productivity and quality.
- Demonstrates accountability and integrity through consistency between words and actions.
- Creates opportunities to apply skills without having to wait for direction.
- Demonstrates flexibility and resilience in response to constraints and adversity.
- Conveys a clear sense of organizational goals, values, and interests.

Creates Effective Operating Plans

- Develops operating plans that optimize time and resources.
- Demonstrates understanding of the roles of different organizational units in fulfilling the operating plan.
- Involves the right people in the appropriate stages of the business planning process.
- Anticipates and addresses issues that may cause disruptions to the operating plan.
- Remains flexible and integrates changing priorities into existing plans.
- Establishes challenging goals and adopts meaningful metrics for evaluating results.

Critical Element II • Managerial/Supervisory Attributes (cont'd)

Cluster 5 – Diversity

Meets Expectations Standards:

Builds Diversity

- Fosters an environment where people can work together cooperatively and effectively to achieve organizational goals; openly addresses conflict, disagreements, and differences in perspective, and achieve productive resolutions.
- Treats employees fairly and honestly when dealing with disagreements and workforce disputes using alternative dispute resolution techniques and other means to resolve disputes.
- Demonstrates genuine concern and respect for direct reports and co-workers, conveys confidence in others' ability and desire to do their best, considers and responds to the needs, feelings, and capabilities of others; works constructively with others regardless of differences in style or interests, and is respectful and supportive of others' ideas and concerns.

Critical Element II • Managerial/Supervisory Attributes (cont'd)

Cluster 4 – Team Building

Meets Expectations Standards:

Builds Capability

- Obtains and uses resources to achieve results.
- Benchmarks, sets standards, and develops measurements for productivity, quality, timeliness.
- Identifies present and future competencies needed in the workforce.
- Exposes team to best practices among other groups.
- Strives to identify and select the very best talent to meet organizational needs.

Coaches, Motivates, and Develops

- Provides timely and constructive performance feedback on a regular basis, accurately appraising the strengths and weaknesses of direct reports.
- Holds individuals responsible for their actions in a manner that is fair and objective.
- Offers coaching suggestions on a regular basis to help team members improve, providing encouragement and support.
- Remains calm and encourages discussion and full exploration of problems.
- Collaborates with team members to further their career goals and interests.
- Fosters an environment of continuous learning and development.

Progress Review

Name: **Carrie Quick** Rating Period: **10/1/08 to 9/30/09**

Instructions: Discuss and document progress achieved to-date by the employee in terms of the expected outcomes specified under the performance standards for each sub-element. Documentation and discussion should also address the need for any performance improvements specified below. Changes in priorities or workload, the availability of resources and other factors affecting the employee's ability to meet performance expectations should be considered and appropriate adjustments to the employee's performance plan should be made. (Additional comments may be placed on a separate page.)

Critical Element	Program/Accomplishment Sub Elements	Comments/Progress
1. Directs Human Resources Management Program		
2. Directs Training and Developmental Program		
3. Directs Labor Relations Program		
4. Directs Personnel Security Program		
5. Develops and executes Division Budget		
<input type="checkbox"/> Safety Standard Program Accomplishment Sub-Element (Manager executes safety responsibilities.) <input checked="" type="checkbox"/> Safety Standard Critical Element (Managers in support positions.)		
- or -		
Critical Element	Managerial Attributes	Comments/Progress
1. Subject Matter Expertise		
2. Customer Service and Communications		
3. Resources Management Skills		
4. Team Building		

Deriving Performance Ratings for Each Critical Element

Program Accomplishments with 2 or 3 Sub-Elements

- Significantly Exceeds (SE) – A majority of all sub-elements rated SE with none rated below ME
- Meets Expectations (ME) – A majority of all sub-elements rated ME with the remaining sub-elements rated the same or higher
- Needs Improvement (NI) – One or more sub-elements rated NI with the remaining sub-elements rated the same or higher
- Fails to Meet Expectations (FME) – At least one sub-element rated FME

Program Accomplishments with 4 or 5 Sub-Elements

- Significantly Exceeds (SE) – A majority of all sub-elements rated SE with none rated below ME
- Meets Expectations (ME) – A majority of all sub-elements rated ME with the remaining sub-elements rated the same or higher
- Needs Improvement (NI) – Two or more sub-elements rated NI with the remaining sub-elements rated the same or higher
- Fails to Meet Expectations (FME) – At least one sub-element rated FME

Managerial/Supervisor Attributes

- Significantly Exceeds (SE) – A majority of the attribute clusters rated SE with none rated below ME
- Meets Expectations (ME) – A majority of the attribute cluster rated ME with no more than one of the remaining rated NI
- Needs Improvement (NI) – Two or more attribute clusters rated NI with the remaining rated the same or higher
- Fails to Meet Expectations (FME) – At least one attribute cluster rated FME

Annual Rating

Name: **Carrie Quick** Rating Period: **10/1/08 to 9/30/09**

Critical Element/ Program/Accomplishment/Sub-Elements	Rating (See SF, ME, NIF, ME)	Comments
1. Directs Human Resources Management Program	Select	
2. Directs Training and Developmental Program	Select	
3. Directs Labor Relations Program	Select	
4. Directs Personnel Security Program	Select	
5. Develops and executes Divison Budget	Select	
<input type="checkbox"/> Safety Standard Program Accomplishment Sub-Element (Manager executes safety responsibilities.) - or - <input checked="" type="checkbox"/> Safety Standard Critical Element (Managers in support positions.)	<input type="checkbox"/> Met <input type="checkbox"/> Not Met	

Critical Element/ Managerial/Attributes	Rating (See SF, ME, NIF, ME)	Comments
1. Subject Matters Expertise	Select	
2. Customer Service & Communication	Select	
3. Resource Management Skills	Select	
4. Team Building	Select	
5. Diversity	Select	

Deriving Overall Summary Performance Ratings

Instructions: The table that follows illustrates how summary performance ratings are derived from ratings assigned to each of the critical elements.

Summary Performance Ratings

- Significantly Exceeds Expectations (SE) – When all or a majority of the elements are rated SE.
- Meets Expectations (ME) – When the majority of the elements are rated at ME.
- Needs Improvement (NI) – At least one critical element rated NI with the other rated the same or higher.
- Fails to Meet Expectations (FME) – At least one critical element rated FME and/or Safety Standard Program Accomplishment Sub-element rated FME and/or the Safety Standard for Manager/Supervisor in Support Position rated "Not Met".

Note: A rating of "Not Met" for the mandatory safety standard critical element will result in an overall summary rating of FME.

Annual Summary Rating and Signatory Approvals

Name: Carrie Quick	Organization: Division of Human Resources Management	Rating Period: 10/1/08 to 9/30/09
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Generic Safety Performance Element Rating (Manager is in a support position.)	Summary/Rating Mark (X) (in appropriate box)			
	SE	ME	NI	FME
<input type="checkbox"/> Met <input type="checkbox"/> Not Met (A "Not Met" rating results in an overall summary rating of FME.)				
1. Program Accomplishments (Safety Standard rating for manager who executes safety responsibilities is factored into the program accomplishment rating)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Managerial/Supervisory Attributes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Summary Rating	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Acknowledgement of discussion of annual summary/rating			
Rating Official's Name (Typed or Printed): Gary L. Swatzlander	Rating Official's Signature:	Date:	
Reviewing Official's Name (Typed or Printed): Jon C. Worthington	Reviewing Official's Signature:	Date:	
The employee's signature confirms that the overall summary rating has been discussed with the Rating Official. The signature does not indicate agreement with rating or the appraisal recommendation. (The employee can attach comments as applicable.)			
Employee's Name (Typed or Printed): Carrie Quick	Employee's Signature:	Date:	
<input type="checkbox"/> Employee declined to sign form. <input type="checkbox"/> Employee not available to sign form.	Comments:	Date:	

I have reviewed and discussed this appraisal with my supervisor. My signature does not imply that I agree with the appraisal recommendation. (Attach comments, as applicable.)

5. Diversity

Handwritten Signature
Rating Official

Date 4/30/09

Handwritten Signature
Employee

Date 4/30/09

Annual Rating

Name: **Carrie Quick** Rating Period: **10/1/08 to 9/30/09**

Critical Element - Program Accomplishment Sub-Elements	Ratings (ie., SE, ME, N, F, ME)	Comments
1. Directs Human Resources Management Program		
2. Directs Training and Developmental Program		
3. Directs Labor Relations Program		
4. Directs Personnel Security Program		
5. Develops and executes Division Budget		
<input type="checkbox"/> Safety Standard Program Accomplishment Sub-Element (Manager executes safety responsibilities.)	Select	
<input checked="" type="checkbox"/> Safety Standard Critical Element (Managers in support positions.)	Met Not Met	

Critical Element II – Managerial Attributes	Ratings (i.e., SE, ME, NI, FIVE)	Comments
1. Subject Matters Expertise		
2. Customer Service & Communication		
3. Resource Management Skills		
4. Team Building		
5. Diversity		

Deriving Overall Summary Performance Ratings

Instructions: The table that follows illustrates how summary performance ratings are derived from ratings assigned to each of the critical elements.

Summary Performance Ratings

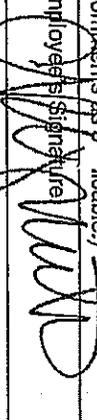
- Significantly Exceeds Expectations (SE) – When all or a majority of the elements are rated SE.
- Meets Expectations (ME) – When the majority of the elements are rated at ME.
- Needs Improvement (NI) – At least one critical elements rated NI with the other rated the same or higher.
- Fails to Meet Expectations (FME) – At least one critical element rated FME and/or Safety Standard Program Accomplishment Sub-element rated FME and/or the Safety Standard for Manager/Supervisor in Support Position rated “Not Met”.

Note: A rating of “Not Met” for the mandatory safety standard critical element will result in an overall summary rating of FME.

Annual Summary Rating and Signatory Approvals

Name: Carrie Quick	Organization: Division of Human Resources Management	Rating Period: 10/1/08 to 9/30/09
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Generic Safety Performance Element Rating (Manager is in a support position.)	Summary Rating Mark (X) in the appropriate box			
	SE	ME	NI	FME
Met Not Met (A "Not Met" rating results in an overall summary rating of FME.)				
1. Program Accomplishments (Safety Standard rating for manager who executes safety responsibilities is factored into the program accomplishment rating)				
2. Managerial /Supervisory Attributes				
Summary Rating				

Acknowledgement of discussion of annual/summary rating			
Rating Official's Name (Typed or Printed): Gary L. Swatzlander	Rating Official's Signature: 	Date: 11/14/09	
Reviewing Official's Name (Typed or Printed): Jon C. Worthington	Reviewing Official's Signature: 	Date: 11/15/09	
The employee's signature confirms that the overall summary rating has been discussed with the Rating Official. The signature does not indicate agreement with rating or the appraisal recommendation. (The employee can attach comments as applicable.)			
Employee's Name (Typed or Printed): Carrie Quick	Employee's Signature: 	Date: 11/16/09	
<input type="checkbox"/> Employee declined to sign form. <input type="checkbox"/> Employee not available to sign form.		Comments:	Date:

I have reviewed and discussed this appraisal with my supervisor. My signature does not imply that I agree with the appraisal recommendation. (Attach comments, as applicable.)

**U.S. Department of Energy
 Managerial/Supervisory Performance Appraisal Form**

Name:	Gary L. Swartzlander		Title:	Assistant Administrator	
Organization:	Office of Corporate Services		Duty Station:	Tulsa, OK	
Performance Rating Period:	From:	10/1/08	To:	9/30/09	

Performance Agreement Certification:
 This confirms that we have met and discussed expectations for the established performance appraisal period.

Acknowledgement of Performance Plan:

The employee has been afforded the opportunity to discuss the critical elements and standards with the Rating Official and has received a copy of this plan. The following signature blocks should be signed within 30 days from the start of the appraisal period, entrance on duty of a new employee, or upon a formal change to this plan. By signing below, the Rating Official and the employee acknowledge the discussion of the assigned Program Accomplishments, Managerial/Supervisory Attributes, and Safety/critical elements.

Rating Official's Name (Typed or Printed): Jon C. Worthington	Rating Official's Signature:	Date:
Reviewing Official's Name (Typed or Printed):	Reviewing Official's Signature:	Date:
Employee's Name (Typed or Printed): Gary L. Swartzlander	Employee's Signature:	Date:
<input type="checkbox"/> Employee declined to sign form. <input type="checkbox"/> Employee not available to sign form.		

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 - DOE Strategic Goal #4. Environmental Responsibility: Protecting the environment by providing a responsible resolution to the environmental legacy of nuclear weapons production.
 - DOE Strategic Goal #5. Management Excellence: Enabling the mission through sound management.
 - Major Program Goal (e.g., EM, FE, NE, RW):
 - Organizational Goal (e.g., CFO, HC, Idaho, NETL, SR):
 - SES Plan:
- Name and Title:
Goal:

Critical Element I • Program Accomplishments

Instructions: Sub-elements, which must be linked to organizational goals and plans, may be expressed as one clause or sentence, but must be sufficiently descriptive to allow them to be distinguished from one another. Performance/organizational goals must be achievable and include information on measurable outcomes such as program improvements, cost reductions, improved timeliness, and improved customer/advisory services. Each sub-element under the Program Accomplishments critical element is of equal importance and accordingly will be weighted equally in the overall assessment of this critical element.

Goal Linkage	Results-Focused Critical Element with Credible Measure(s) "Meets Expectations" Performance Level
<p>1. Administer Finance, Accounting and Budget Programs: Chief Financial Officer Responsibilities: DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence); Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	
<p>2. Administer Acquisition and Property Program: DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence); Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	
<p>3. Administer Human Resources Management Program: DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence); Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	
<p>4. Agency Liaison: DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence); Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	

<p>5. Senior Staff Participation: DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence); Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	
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Generic Safety Standard—Line Manager/Supervisor Executes Safety Responsibilities

This manager/supervisor executes safety responsibilities. This safety standard is incorporated into Critical Element 1 – Program Accomplishment Sub-Element and is rated as SE, ME, NI, or FME. Note: A rating of "FME" for this sub-element will result in an overall summary rating of FME.

Critical Element	Standard
<p>Eliminate workplace accidents, injuries, illnesses, unplanned releases to the environment and strengthen regulatory enforcement actions.</p>	<p>Manager will be rated on the following:</p> <ul style="list-style-type: none"> • Implements functional plan to improve federal and contractor ES&H performance. • Ensures appropriate performance measures and goals are established and are effectively utilized within the functional unit to monitor federal and contractor ES&H performance in accordance with Department Policy 450.7 and contract provisions, respectively. • Ensures adequate performance data is collected and analyzed within the functional unit to identify deficiencies and weak safety performance areas before the occurrence of serious mishaps. • Ensures ES&H performance is systematically evaluated against established goals and appropriate actions are taken in a timely manner to address negative trends and significant performance efficiencies. Corrective actions are completed in accordance with approved schedules and organizational safety strategies to prevent recurrences. • Ensures processes have been established and effectively implemented to assure federal compliance and effective performance of ES&H expectations. • Encourages prompt identification and investigation of unsafe or unhealthy working conditions and prevents harassment, intimidation, retaliation or discrimination toward individuals who report such conditions.

<p><input checked="" type="checkbox"/> Generic Safety Standard – Manager/Supervisor/s in a Support Position: does not execute safety as a primary job responsibility.</p> <p>This safety critical element is rated as "Met" or "Not Met". Note: In accordance with 5CFR 430.208(b) this safety critical element is factored into the overall summary rating of record. A rating of "Not Met" for this critical element will result in an overall summary rating of FME.</p>	
<p>Critical Element</p>	<p>Standard</p>
<p>Supports line managers in conducting HSS responsibilities, as applicable, to ensure a safe and healthy environment of DOE federal and contractual workforces.</p>	<p><u>Manager will be rated on the following:</u></p> <ul style="list-style-type: none"> • Supports the implementation of a functional plan by line support managers to improve the HSS performance of federal and contract employees, as applicable. • Identifies and provides training and developmental opportunities to assure the staff is knowledgeable of safety responsibilities, workplace hazards and controls, emergency response procedures, and the Headquarters FEOSH Program, as required or appropriate. • Ensures the staff complies with the Headquarters FEOSH program, safety and health requirements, and occupant emergency plan. • Encourages the identification and reporting of unsafe or unhealthy working conditions and prevents harassment, intimidation, or discrimination towards individuals who report such conditions. • Supports investigation of accidents and the implementation of action to prevent recurrences. • Addresses employee reports of alleged usage conditions with assistance from the Headquarters Occupational Safety and Health Manager, as appropriate.

Critical Element II • Managerial/Supervisory Attributes

Instructions: Each of the sub-elements that follow describes an attribute required of all effective managers. At the beginning of the performance appraisal period, Employees and Rating Officials should review and discuss each sub-element attribute to assure a mutual understanding of the generic performance standards provided for each. Also during these discussions, the need for additional standards should be determined and documented as amendments to the appropriate attributes' performance standards. Each sub-element under the Management critical element is of equal importance, and accordingly, will be weighted equally in the overall assessment of this critical element.

Cluster 1 – Subject Matter Expertise

Meets Expectations Standards:

Demonstrates Functional Competence

- Demonstrates expertise in his/her functional area, leveraging unique core of knowledge and skills to achieve results.
- Keeps up-to-date in areas of expertise.
- Seeks input from manager, peers, and others regarding new developments, techniques, technologies and similar advancements in area of expertise.
- Responds to requests for assistance in area of expertise in a timely manner by administering and actively passing on expertise to others.
- Seeks assignments that make good use of expertise, engaging in an appropriate mix of challenging and comfortable assignments providing any assistance to clients/customers.

Exhibits Analytical Ability and Solves Problems

- Gathers and effectively analyzes multiple data sources to determine root cause of problems.
- Communicates and shares effective problem-solving processes. Generates alternative solutions and seeks input from others.
- Typically anticipates the consequences or impact of a suggested course of action.
- Collaborates with peers and others in problem-solving efforts that support positions/recommendations for desired results.
- Consistently shares thoughts and supports recommendations with sound rationale.
- Makes sound decisions in the face of ambiguity and uncertainty.
- Appropriately escalates problems or resource issues for resolution.

Innovates

- Consistently generates creative ideas for systems, services, or work processes.
- Explores and supports new ideas and initiatives. Identifies areas for improvement within own area of expertise/job function.
- Looks outside area of expertise to identify new ideas and initiatives.
- Creates an open environment for people to voice new ideas.
- Takes prudent risks to create new value for customers.

Critical Element II • Managerial/Supervisory Attributes (cont'd)

Cluster 2 – Customer Service and Communication

Meets Expectations Standards:

Serves Customers and Builds Partnerships

- Secures commitments that are realistic and attainable, and keeps them, delivering on time with quality.
- Responds quickly to customer/partner concerns and requests, reacting constructively to changes in needs and priorities.
- Consistently helps customers and partners overcome problems or difficulties.
- Keeps customers and partners up to date on progress.
- Provides respect to customers and partners, maintaining composure and objectivity in challenging situations.
- Solicits feedback on the quality of service provided and takes corrective action, seeking help if needed.

Communicates Effectively

- Presents his/her positions in a concise and convincing manner, orally and in writing.
- Generates written materials that only occasionally require limited revision.
- Uses professional wording and tone.
- Listens to others' viewpoints and seeks to clarify for understanding.
- Is able to successfully support own positions in a non-confrontational manner.
- Uses communication methods (e.g., e-mail, voice mail, meetings) appropriate to the situation.

Critical Element II • Managerial/Supervisory Attributes (cont'd)

Cluster 3 – Resources Management Skills

Meets Expectations Standards:

Demonstrates Personal Leadership

- Serves as an example for others in demonstrating high levels of productivity and quality.
- Demonstrates accountability and integrity through consistency between words and actions.
- Creates opportunities to apply skills without having to wait for direction.
- Demonstrates flexibility and resilience in response to constraints and adversity.
- Conveys a clear sense of organizational goals, values, and interests.

Creates Effective Operating Plans

- Develops operating plans that optimize time and resources.
- Demonstrates understanding of the roles of different organizational units in fulfilling the operating plan.
- Involves the right people in the appropriate stages of the business planning process.
- Anticipates and addresses issues that may cause disruptions to the operating plan.
- Remains flexible and integrates changing priorities into existing plans.
- Establishes challenging goals and adopts meaningful metrics for evaluating results.

Critical Element II • Managerial/Supervisory Attributes (cont'd)

Cluster 4 – Team Building

Meets Expectations Standards:

Builds Capability

- Obtains and uses resources to achieve results.
- Benchmarks, sets standards, and develops measurements for productivity, quality, timeliness.
- Identifies present and future competencies needed in the workforce.
- Exposes team to best practices among other groups.
- Strives to identify and select the very best talent to meet organizational needs.

Coaches, Motivates, and Develops

- Provides timely and constructive performance feedback on a regular basis, accurately appraising the strengths and weaknesses of direct reports.
- Holds individuals responsible for their actions in a manner that is fair and objective.
- Offers coaching suggestions on a regular basis to help team members improve, providing encouragement and support.
- Remains calm and encourages discussion and full exploration of problems.
- Collaborates with team members to further their career goals and interests.
- Fosters an environment of continuous learning and development.

Critical Element II • Managerial/Supervisory Attributes (cont'd)

Cluster 5 – Diversity

Meets Expectations Standards:

Builds Diversity

- Fosters an environment where people can work together cooperatively and effectively to achieve organizational goals; openly addresses conflict, disagreements, and differences in perspective, and achieve productive resolutions.
- Treats employees fairly and honestly when dealing with disagreements and workforce disputes using alternative dispute resolution techniques and other means to resolve disputes.
- Demonstrates genuine concern and respect for direct reports and co-workers, conveys confidence in others' ability and desire to do their best, considers and responds to the needs, feelings, and capabilities of others, works constructively with others regardless of differences in style or interests, and is respectful and supportive of others' ideas and concerns.

Progress Review

Name: **Gary L. Swartzlander** Rating Period: **10/1/08 to 9/30/09**

Instructions: Discuss and document progress achieved to-date by the employee in terms of the expected outcomes specified under the performance standards for each sub-element. Documentation and discussion should also address the need for any performance improvements specified below. Changes in priorities or workload, the availability of resources and other factors affecting the employee's ability to meet performance expectations should be considered and appropriate adjustments to the employee's performance plan should be made. (Additional comments may be placed on a separate page.)

Critical Element I - Program Accomplishment Sub-Elements		Comments/Progress
1. Administer Finance, Accounting and Budget Programs:		
2. Administer Acquisition and Property Program:		
3. Administer Human Resources Management Program:		
4. Agency Liaison:		
5. Senior Staff Participation:		
<input type="checkbox"/> Safety Standard Program Accomplishment Sub-Element (Manager executes safety responsibilities.) <input checked="" type="checkbox"/> Safety Standard Critical Element (Managers in support positions.)	- or -	
Critical Element II - Managerial Attributes		Comments/Progress
1. Subject Matter Expertise		
2. Customer Service and Communications		
3. Resources Management Skills		
4. Team Building		
5. Diversity		

Rating Official: _____ Date: _____ Employee: _____ Date: _____

Deriving Performance Ratings for Each Critical Element

Program Accomplishments with 2 or 3 Sub-Elements

- Significantly Exceeds (SE) – A majority of all sub-elements rated SE with none rated below ME.
- Meets Expectations (ME) – A majority of all sub-elements rated ME with the remaining sub-elements rated the same or higher
- Needs Improvement (NI) – One or more sub- elements rated NI with the remaining sub-elements rated the same or higher
- Fails to Meet Expectations (FME) – At least one sub-element rated FME

Program Accomplishments with 4 or 5 Sub-Elements

- Significantly Exceeds (SE) – A majority of all sub-elements rated SE with none rate below ME
- Meets Expectations (ME) – A majority of all sub-elements rated ME with the remaining sub-elements rated the same or higher
- Needs Improvement (NI) – Two or more sub- elements rated NI with the remaining sub-elements rated the same or higher
- Fails to Meet Expectations (FME) – At least one sub-element rated FME

Managerial/Supervisory Attributes

- Significantly Exceeds (SE) – A majority of the attribute clusters rated SE with none rated below ME
- Meets Expectations (ME) – A majority of the attribute cluster rated ME with no more than one of the remaining rated NI
- Needs Improvement (NI) – Two or more attribute clusters rated NI with the remaining rated the same or higher
- Fails to Meet Expectations (FME) – At least one attribute cluster rated FME

Annual Rating

Name: **Gary L. Swartzlander** Rating Period: **10/1/08 to 9/30/09**

Critical Element 1 – Program Accomplishment Sub-Elements	Ratings (i.e., SE, ME, NI, FME)	Comments
<p>1. Administer Finance, Accounting and Budget Programs:</p>		
<p>2. Administer Acquisition and Property Program:</p>		

3.	Administer Human Resources Management Program:		
4.	Agency Liaison:		
5.	Senior Staff Participation:		

<input type="checkbox"/> Safety Standard Program Accomplishment Sub-Element (Manager executes safety responsibilities.) <input checked="" type="checkbox"/> Safety Standard Critical Element (Managers in support positions.)	- Or - Select Met Not Met	
Critical Element II - Managerial Attributes (i.e., SE, ME, N, FME)		
1. Subject Matters Expertise		
2. Customer Service & Communication		
3. Resource Management Skills		
4. Team Building		
5. Diversity		

Deriving Overall Summary Performance Ratings

Instructions: The table that follows illustrates how summary performance ratings are derived from ratings assigned to each of the critical elements.

Summary Performance Ratings

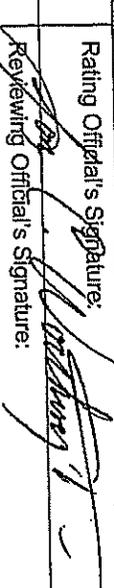
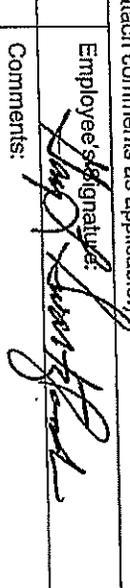
- Significantly Exceeds Expectations (SE) – When all or a majority of the elements are rated SE.
- Meets Expectations (ME) – When the majority of the elements are rated at ME.
- Needs Improvement (NI) – At least one critical elements rated NI with the other rated the same or higher.
- Fails to Meet Expectations (FME) – At least one critical element rated FME and /or Safety Standard Program Accomplishment Sub-element rated FME and/or the Safety Standard for Manager/Supervisor in Support Position rated "Not Met".

Note: A rating of "Not Met" for the mandatory safety standard critical element will result in an overall summary rating of FME.

Annual Summary Rating and Signatory Approvals

Name: Gary L. Swartzlander	Organization: Office of Corporate Services	Rating Period: 10/1/08 to 9/30/09
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Generic Safety Performance Element Rating (Manager is in a support position.)	Summary Rating			
	Mark (X) the appropriate box			
<input checked="" type="checkbox"/> Met <input type="checkbox"/> Not Met (A "Not Met" rating results in an overall summary rating of FME.)	SE	ME	NI	FME
1. Program Accomplishments (Safety Standard rating for manager who executes safety responsibilities is factored into the program accomplishment rating)				
2. Managerial /Supervisory Attributes				
Summary Rating				

Acknowledgement of discussion of annual summary rating	
Rating Official's Name (Typed or Printed): Jon C. Worthington	Rating Official's Signature: 
Date: 11/2/09	
Reviewing Official's Name (Typed or Printed):	Reviewing Official's Signature:
The employee's signature confirms that the overall summary rating has been discussed with the Rating Official. The signature does not indicate agreement with rating or the appraisal recommendation. (The employee can attach comments as applicable.)	
Employee's Name (Typed or Printed): Gary L. Swartzlander	Employee's Signature: 
Date: 11/3/09	Date:
<input type="checkbox"/> Employee declined to sign form. <input type="checkbox"/> Employee not available to sign form.	Comments:

I have reviewed and discussed this appraisal with my supervisor. My signature does not imply that I agree with the appraisal recommendation. (Attach comments, as applicable.)

U.S. Department of Energy Managerial/Supervisory Performance Appraisal Form

Name:	Gary L. Swartzlander		Title:	Assistant Administrator	
Organization:	Office of Corporate Services		Duty Station:	Tulsa, OK	
Performance Rating Period:	From:	10/1/08	To:	9/30/09	

Performance Agreement Certification:
 This confirms that we have met and discussed expectations for the established performance appraisal period.

Acknowledgement of Performance Plan:

The employee has been afforded the opportunity to discuss the critical elements and standards with the Rating Official and has received a copy of this plan. The following signature blocks should be signed within 30 days from the start of the appraisal period, either in print or by new employee, upon a formal change to this plan. By signing below, the Rating Official and the employee acknowledge the discussion of the assigned Program Accomplishments, Managerial/Supervisory Attributes, and Safety/critical elements.

Rating Official's Name (Typed or Printed): Jon C. Worthington	Rating Official's Signature: 	Date: 1/22/09
Reviewing Official's Name (Typed or Printed):	Reviewing Official's Signature:	Date:
Employee's Name (Typed or Printed): Gary L. Swartzlander	Employee's Signature: 	Date: 1/22/09
<input type="checkbox"/> Employee declined to sign form. <input type="checkbox"/> Employee not available to sign form.		

Privacy Act Statement

This form is subject to the provisions of the Privacy Act. Copies will be retained and provided for review and retention as required to appropriate management officials having a need to know. This gathers and records information on how Departmental employees are performing their duties and responsibilities. The information will be used to determine eligibility entitlement to awards, and compensation benefits. The authority to collect this information is contained in Title IV of the Civil Service Reform Act of 1978. The information will not be disclosed outside the Department without prior consent except as required or permitted by law.

Cascaded Organizational Goals

The employee performance plan must align with (i.e., support) organizational goals and targets that are established in an organization's annual performance plan and/or that have been included in the Senior Executive Service (SES) member's performance plan. Alignment should be transparent so that the employee knows what he/she is to accomplish in order to support the goal.

To demonstrate the cascaded goal alignment:

- (1) select the appropriate DOE Strategic Goal if applicable to this performance plan, then (if appropriate)
 - (2) annotate the title of the alignment document, goal number, and the text of the specific goal.
- DOE Strategic Goal #1. Energy Security: Promoting America's energy security through reliable, clean, and affordable energy.
 - DOE Strategic Goal #2. Nuclear Security: Ensuring America's nuclear security.
 - DOE Strategic Goal #3. Scientific Discovery & Innovation: Strengthening U.S. science discovery, economic competitiveness, and improving quality of life through innovations in science and technology.
 - DOE Strategic Goal #4. Environmental Responsibility: Protecting the environment by providing a responsible resolution to the environmental legacy of nuclear weapons production.
 - DOE Strategic Goal #5. Management Excellence: Enabling the mission through sound management.
 - Major Program Goal (e.g., EM, FE, NE, RW):
 - Organizational Goal (e.g., CFO, HC, Idaho, NETL, SR):
 - SES Plan:
 - Name and Title:
 - Goal:

Critical Element 1 • Program Accomplishments

Instructions: Sub-elements, which must be linked to organizational goals and plans, may be expressed as one clause or sentence, but must be sufficiently descriptive to allow them to be distinguished from one another. Performance/organizational goals must be achievable and include information on measurable outcomes such as program improvements, cost reductions, improved timeliness, and improved customer/advisory services. Each sub-element under the Program Accomplishments critical element is of equal importance and accordingly will be weighted equally in the overall assessment of this critical element.

Goal Linkage	Results-Focused Critical Element with Credible Measure(s) "Meets Expectations" Performance Level
<p>1. Administer Finance, Accounting and Budget Programs: Chief Financial Officer Responsibilities: DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence); Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	
<p>2. Administer Acquisition and Property Program: DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence); Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	
<p>3. Administer Human Resources Management Program: DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence); Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	
<p>4. Agency Liaison: DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence); Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	

<p>5. Senior Staff Participation: DOE Strategic Goal #1 (Energy Security) and #5 (Management Excellence); Southwestern Strategic Goal M4 (Achieve and Maintain Financial Integrity) and D1 (Operate the Power System in the Most Effective and Cost Efficient Manner)</p>	
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<input type="checkbox"/> Generic Safety Standard – Line Manager/Supervisor Executes Safety Responsibilities	
This manager/supervisor executes safety responsibilities. This safety standard is incorporated into Critical Element 1 – Program Accomplishment Sub-Element and is rated as SE, ME, NI, or FME. Note: A rating of "FME" for this sub-element will result in an overall summary rating of FME.	
Critical Element	Standard
Eliminate workplace accidents, injuries, illnesses, unplanned releases to the environment and strengthen regulatory enforcement actions.	<p><u>Manager will be rated on the following:</u></p> <ul style="list-style-type: none"> • Implements functional plan to improve federal and contractor ES&H performance. • Ensures appropriate performance measures and goals are established and are effectively utilized within the functional unit to monitor federal and contractor ES&H performance in accordance with Department Policy 450.7 and contract provisions, respectively. • Ensures adequate performance data is collected and analyzed within the functional unit to identify deficiencies and weak safety performance areas before the occurrence of serious mishaps. • Ensures ES&H performance is systematically evaluated against established goals and appropriate actions are taken in a timely manner to address negative trends and significant performance efficiencies. Corrective actions are completed in accordance with approved schedules and organizational safety strategies to prevent recurrences. • Ensures processes have been established and effectively implemented to assure federal compliance and effective performance of ES&H expectations. • Encourages prompt identification and investigation of unsafe or unhealthy working conditions and prevents harassment, intimidation, retaliation or discrimination toward individuals who report such conditions.

Generic Safety Standard - Manager/Supervisor is in a Support Position; does not execute safety as a primary job responsibility.

This safety critical element is rated as "Met" or "Not Met". Note: In accordance with 5CFR 430.208(b) this safety critical element is factored into the overall summary rating of record. A rating of "Not Met" for this critical element will result in an overall summary rating of FME.

Critical Element	Standard
<p>Supports line managers in conducting HSS responsibilities, as applicable, to ensure a safe and healthy environment of DOE federal and contractual workforces.</p>	<p><u>Manager will be rated on the following:</u></p> <ul style="list-style-type: none"> • Supports the implementation of a functional plan by line support managers to improve the HSS performance of federal and contract employees, as applicable. • Identifies and provides training and developmental opportunities to assure the staff is knowledgeable of safety responsibilities, workplace hazards and controls, emergency response procedures, and the Headquarters FEOSH Program, as required or appropriate. • Ensures the staff complies with the Headquarters FEOSH program, safety and health requirements, and occupant emergency plan. • Encourages the identification and reporting of unsafe or unhealthy working conditions and prevents harassment, intimidation, or discrimination towards individuals who report such conditions. • Supports investigation of accidents and the implementation of action to prevent recurrences. • Addresses employee reports of alleged usage conditions with assistance from the Headquarters Occupational Safety and Health Manager, as appropriate.

Critical Element II • Managerial/Supervisory Attributes

Instructions: Each of the sub-elements that follow describes an attribute required of all effective managers. At the beginning of the performance appraisal period, Employees and Rating Officials should review and discuss each sub-element attribute to assure a mutual understanding of the generic performance standards provided for each. Also during these discussions, the need for additional standards should be determined and documented as amendments to the appropriate attributes' performance standards. Each sub-element under the Management critical element is of equal importance, and accordingly, will be weighted equally in the overall assessment of this critical element.

Cluster 1 – Subject Matter Expertise

Meets Expectations Standards:

Demonstrates Functional Competence

- Demonstrates expertise in his/her functional area, leveraging unique core of knowledge and skills to achieve results.
- Keeps up-to-date in areas of expertise.
- Seeks input from manager, peers, and others regarding new developments, techniques, technologies and similar advancements in area of expertise.
- Responds to requests for assistance in area of expertise in a timely manner by administering and actively passing on expertise to others.
- Seeks assignments that make good use of expertise, engaging in an appropriate mix of challenging and comfortable assignments providing any assistance to clients/customers.

Exhibits Analytical Ability and Solves Problems

- Gathers and effectively analyzes multiple data sources to determine root cause of problems.
- Communicates and shares effective problem-solving processes. Generates alternative solutions and seeks input from others.
- Typically anticipates the consequences or impact of a suggested course of action.
- Collaborates with peers and others in problem-solving efforts that support positions/recommendations for desired results.
- Consistently shares thoughts and supports recommendations with sound rationale.
- Makes sound decisions in the face of ambiguity and uncertainty.
- Appropriately escalates problems or resource issues for resolution.

Innovates

- Consistently generates creative ideas for systems, services, or work processes.
- Explores and supports new ideas and initiatives. Identifies areas for improvement within own area of expertise/job function.
- Looks outside area of expertise to identify new ideas and initiatives.
- Creates an open environment for people to voice new ideas.
- Takes prudent risks to create new value for customers.

Critical Element II • Managerial/Supervisory Attributes (cont'd)

Cluster 2 – Customer Service and Communication

Meets Expectations Standards:

Serves Customers and Builds Partnerships

- Secures commitments that are realistic and attainable, and keeps them, delivering on time with quality.
- Responds quickly to customer/partner concerns and requests, reacting constructively to changes in needs and priorities.
- Consistently helps customers and partners overcome problems or difficulties.
- Keeps customers and partners up to date on progress.
- Provides respect to customers and partners, maintaining composure and objectivity in challenging situations.
- Solicits feedback on the quality of service provided and takes corrective action, seeking help if needed.

Communicates Effectively

- Presents his/her positions in a concise and convincing manner, orally and in writing.
- Generates written materials that only occasionally require limited revision.
- Uses professional wording and tone.
- Listens to others' viewpoints and seeks to clarify for understanding.
- Is able to successfully support own positions in a non-confrontational manner.
- Uses communication methods (e.g., e-mail, voice mail, meetings) appropriate to the situation.

Critical Element II • Managerial/Supervisory Attributes (cont'd)

Cluster 3 – Resources Management Skills

Meets Expectations Standards:

Demonstrates Personal Leadership

- Serves as an example for others in demonstrating high levels of productivity and quality.
- Demonstrates accountability and integrity through consistency between words and actions.
- Creates opportunities to apply skills without having to wait for direction.
- Demonstrates flexibility and resilience in response to constraints and adversity.
- Conveys a clear sense of organizational goals, values, and interests.

Creates Effective Operating Plans

- Develops operating plans that optimize time and resources.
- Demonstrates understanding of the roles of different organizational units in fulfilling the operating plan.
- Involves the right people in the appropriate stages of the business planning process.
- Anticipates and addresses issues that may cause disruptions to the operating plan.
- Remains flexible and integrates changing priorities into existing plans.
- Establishes challenging goals and adopts meaningful metrics for evaluating results.

Critical Element II • Managerial/Supervisory Attributes (cont'd)

Cluster 4 – Team Building

Meets Expectations Standards:

Builds Capability

- Obtains and uses resources to achieve results.
- Benchmarks, sets standards, and develops measurements for productivity, quality, timeliness.
- Identifies present and future competencies needed in the workforce.
- Exposes team to best practices among other groups.
- Strives to identify and select the very best talent to meet organizational needs.

Coaches, Motivates, and Develops

- Provides timely and constructive performance feedback on a regular basis, accurately appraising the strengths and weaknesses of direct reports.
- Holds individuals responsible for their actions in a manner that is fair and objective.
- Offers coaching suggestions on a regular basis to help team members improve, providing encouragement and support.
- Remains calm and encourages discussion and full exploration of problems.
- Collaborates with team members to further their career goals and interests.
- Fosters an environment of continuous learning and development.

Critical Element II • Managerial/Supervisory Attributes (cont'd)

Cluster 5 – Diversity

Meets Expectations Standards:

Builds Diversity

- Fosters an environment where people can work together cooperatively and effectively to achieve organizational goals; openly addresses conflict, disagreements, and differences in perspective, and achieve productive resolutions.
- Treats employees fairly and honestly when dealing with disagreements and workforce disputes using alternative dispute resolution techniques and other means to resolve disputes.
- Demonstrates genuine concern and respect for direct reports and co-workers, conveys confidence in others' ability and desire to do their best, considers and responds to the needs, feelings, and capabilities of others; works constructively with others regardless of differences in style or interests, and is respectful and supportive of others' ideas and concerns.

Progress Review

Name: Gary L. Swartzlander Rating Period: 10/1/08 to 9/30/09

Instructions: Discuss and document progress achieved to-date by the employee in terms of the expected outcomes specified under the performance standards for each sub-element. Documentation and discussion should also address the need for any performance improvements specified below. Changes in priorities or workload, the availability of resources and other factors affecting the employee's ability to meet performance expectations should be considered and appropriate adjustments to the employee's performance plan should be made. (Additional comments may be placed on a separate page.)

Critical Element - Program Accomplishment Sub-Elements	Comments/Progress
1. Administer Finance, Accounting and Budget Programs:	
2. Administer Acquisition and Property Program:	
3. Administer Human Resources Management Program:	
4. Agency Liaison:	
5. Senior Staff Participation:	
<input type="checkbox"/> Safety Standard Program Accomplishment Sub-Element (Manager executes safety responsibilities.) <input checked="" type="checkbox"/> Safety Standard Critical Element (Managers in support positions.)	- or -
Critical Element - Managerial Attributes	Comments/Progress
1. Subject Matter Expertise	
2. Customer Service and Communications	
3. Resources Management Skills	
4. Team Building	
5. Diversity	

Rating Official: [Signature] Date: 4/28/09

Employee: [Signature] Date: 4-28-09

Deriving Performance Ratings for Each Critical Element

Program Accomplishments with 2 or 3 Sub-Elements

- Significantly Exceeds (SE) – A majority of all sub-elements rated SE with none rated below ME
- Meets Expectations (ME) – A majority of all sub-elements rated ME with the remaining sub-elements rated the same or higher
- Needs Improvement (NI) – One or more sub-elements rated NI with the remaining sub-elements rated the same or higher
- Fails to Meet Expectations (FME) – At least one sub-element rated FME

Program Accomplishments with 4 or 5 Sub-Elements

- Significantly Exceeds (SE) – A majority of all sub-elements rated SE with none rated below ME
- Meets Expectations (ME) – A majority of all sub-elements rated ME with the remaining sub-elements rated the same or higher
- Needs Improvement (NI) – Two or more sub-elements rated NI with the remaining sub-elements rated the same or higher
- Fails to Meet Expectations (FME) – At least one sub-element rated FME

Managerial/Supervisory Attributes

- Significantly Exceeds (SE) – A majority of the attribute clusters rated SE with none rated below ME
- Meets Expectations (ME) – A majority of the attribute cluster rated ME with no more than one of the remaining rated NI
- Needs Improvement (NI) – Two or more attribute clusters rated NI with the remaining rated the same or higher
- Fails to Meet Expectations (FME) – At least one attribute cluster rated FME

Annual Rating

Name: **Gary L. Swartzlander** Rating Period: **10/1/08 to 9/30/09**

Critical Element I - Program Accomplishment Sub-Elements	Ratings (ie, SE, ME, N, F, ME)	Comments
1. Administer Finance, Accounting and Budget Programs:	Select	
2. Administer Acquisition and Property Program:	Select	
3. Administer Human Resources Management Program:	Select	
4. Agency Liaison:	Select	
5. Senior Staff Participation:	Select	
<input type="checkbox"/> Safety Standard Program Accomplishment Sub-Element (Manager executes safety responsibilities.) <input checked="" type="checkbox"/> Safety Standard Critical Element (Managers in support positions.)	<input type="checkbox"/> Met <input type="checkbox"/> Not Met	

Critical Element II - Managerial Attributes	Ratings (ie, SE, ME, N, F, ME)	Comments
1. Subject Matters Expertise	Select	
2. Customer Service & Communication	Select	
3. Resource Management Skills	Select	
4. Team Building	Select	
5. Diversity	Select	

Deriving Overall Summary Performance Ratings

Instructions: The table that follows illustrates how summary performance ratings are derived from ratings assigned to each of the critical elements.

Summary Performance Ratings

- Significantly Exceeds Expectations (SE) – When all or a majority of the elements are rated SE.
- Meets Expectations (ME) – When the majority of the elements are rated at ME.
- Needs Improvement (NI) – At least one critical elements rated NI with the other rated the same or higher.
- Fails to Meet Expectations (FME) – At least one critical element rated FME and for Safety Standard Program Accomplishment Sub-element rated FME and/or the Safety Standard for Manager/Supervisor in Support Position rated "Not Met".

Note: A rating of "Not Met" for the mandatory safety standard critical element will result in an overall summary rating of FME.