

RAS 6051 50-390-CIV, et. al. PERFORMANCE PLANNING AND EVALUATION Joint Exhibit 30 - Rec'd 4/30/83

FOR MANAGERS
OFFICE OF NUCLEAR POWER

NAME: G. L. Fiser SOCIAL SECURITY NUMBER: [REDACTED]

POSITION TITLE/GRADE: Chemistry Superintendent/M-7

ORGANIZATION: BRANCH Plant DIVISION/SITE/STAFF: Sequoyah Nuclear Plant

LOCATION: Sequoyah

REVIEW PERIOD ENDING: (check one) 12/30 3/30 6/30 1/6/89 9/30 - Annual Other - See Instructions Record Actual Date Here

RATING: (Give Rating) Interim Interim Interim Adequate Performance Overall Other - See Instructions

SUPERVISOR COMMENTS:

EMPLOYEE COMMENTS:

[Signature]
EMPLOYEE SIGNATURE

[Signature]
EVALUATOR SIGNATURE

REVIEWER SIGNATURE

DATE: 1-6-89

DATE: 1-6-89

DATE:

Routing
Quarterly Reviews - The PPE cover sheet only is completed and sent to the Division Personnel Officer.
Annual (or other) Evaluation - The completed PPE form, in its entirety, is sent to the Division Personnel Officer.

*Required for quarterly reviews and annual (or "other") evaluations.

>Required for quarterly reviews only if interim rating is "unacceptable." Always required for annual (or "other") evaluations.

Template = SECY-028

SECY-02

NUCLEAR REGULATORY COMMISSION

Docket No. 50-390 Official Exh. No. Joint-30
In the matter of TVA
Staff Joint IDENTIFIED
Applicant Joint RECEIVED
Intervenor _____ REJECTED _____
Other _____ WITHDRAWN _____
DATE 4/30/02 Witness _____
Clerk BHM

OFFICE OF THE SECRETARY
RULEMAKING AND
ADJUDICATIONS STAFF

2003 MAR -4 PM 3:11

DOCKETED
USMRC



PERFORMANCE PLANNING AND EVALUATION FOR MANAGERS

FOUR PRIMARY OBJECTIVES

- (1) Improve quality and productivity by effectively defining, managing and evaluating accountabilities reflected in the position description.
- (2) Ensure that management job performance supports the achievement of corporate goals and objectives within the highest standards of excellence.
- (3) Provide a planning tool for training management employees to do their current jobs better.
- (4) Create a means of identifying candidates for future leadership roles.

KEY ELEMENTS IN THE PROCESS

The Performance Planning and Evaluation (PPE) process involves these key elements in a continuous annual cycle: Performance Planning, Performance Management, Performance Evaluation, and Performance Development.

1. Planning

At the beginning of the Performance Planning and Evaluation cycle (annually in October) each management employee will meet with his/her supervisor and jointly identify four to six accountabilities (objectives) for which that management employee will be held responsible during the coming review period. The supervisor and management employee will also define together what measure, standards, or descriptions will be used in assessing how well the work is being performed, and the expected results. The position description is significant because it becomes the cornerstone against which performance is measured.

2. Management

Performance Management (sometimes referred to as monitoring) means continuous day-to-day, week-to-week, communication between the supervisor and management employee regarding objectives, how they're being performed, and progress on individual development. It is an information feedback and coaching process involving the observation of work and results. A minimum of one review must be held quarterly and documented. Each management employee receives an interim performance rating at the end of every quarter, reflecting accomplishments, the extent to which progress is being made in work and development activities, and how well management skills (performance factors) are being utilized.

3. Evaluation

At the end of the Performance Planning and Evaluation cycle (annually in September) supervisors evaluate each of their M-Schedule employees with regard to Accountabilities, Performance Factors, and Performance Development Activities for the whole year. One overall performance rating is given at this time. The appraising manager should come to a decision regarding the overall rating based on his or her perspective of the employee's performance during the whole year.

4. Development

Development activities are integral to management employees achieving their maximum potential. Developmental needs are first identified during the evaluation phase of the cycle as areas needing improvement or opportunities for growth. After developmental needs have been jointly identified by the supervisor and the management employee they are translated into action plans and monitored, with appropriate changes, throughout the next review cycle.

RATING DEFINITIONS USED DURING QUARTERLY AND ANNUAL EVALUATIONS

Unacceptable
Performance

Does not meet expectations. Falling to meet basic requirements of the position. Management action necessary.

Adequate
Performance

Meets basic expectations. Performs similar to break-in period on new job. Performance indicates certain limitations. Improvement needed in specific areas.

Solid
Performance

Fully competent performance. Consistently meets expectations in a timely/quality manner. Considered a valuable employee contributing well to the success of the organization.

Superior
Performance

Performance which clearly and substantially exceeds expectations for major areas of position. Contributes significantly to work group productivity. Highly effective in many key areas.

Exceptional
Performance

Sustained extraordinary performance which far exceeds expectations and significantly adds to work group performance in excess of peer contribution. Achievable but seldom attained performance.

PERFORMANCE PLANNING/PERFORMANCE MANAGING/ANNUAL EVALUATION
(Section 1)

Identified jointly by employee and supervisor.

Reviewed jointly by employee and supervisor.

ACCOUNTABILITIES	EXPECTED RESULTS	ACTUAL RESULTS
<p>List four to six major activities, ongoing responsibilities, and/or special objectives reflected in the position description. (Use additional paper if necessary.)</p> <p>To support the plant in the restart of units 1 and 2 in the area of Chemistry.</p>	<p>Develop specific, measurable results for each accountability or objective.</p>	<p>Copy this form and review the progress made in meeting the expected results on a periodic basis. (A minimum of one review must be held quarterly and documented.)*</p>
<p>*If unacceptable performance is indicated at any time during the review cycle, developmental needs should be identified and translated into an action plan (Section 4).</p>		

Quarterly Documented Review

Schedule Dates	Goals Completed	Rating	Supv's Initials	Emp's Initials	Comments
12/30	_____	_____	_____	_____	_____
3/30	_____	_____	_____	_____	_____
6/30	_____	_____	_____	_____	_____

Annual Evaluation Given by: B. J. Smith Date: 1/6/89

Comments: _____

**PERFORMANCE FACTORS (OBSERVED)
FOR ALL MANAGEMENT EMPLOYEES
(Section 2-A)**

Check One

Performance Factors describe how employees go about accomplishing job responsibilities.

<p>Analysis & Decision Making -</p> <p>Identifying issues and problems, relating and comparing data, identifying cause/effect relationships. Making judgments reflecting factual information and organizational resources. Developing alternative causes of action.</p>	<p><input type="checkbox"/>*</p> <p>Supervisor frequently required to identify problem areas. Employee generally does not consider enough information in making recommendations or decisions, or over analyzes to the point that decisions are not made.</p>	<p><input checked="" type="checkbox"/></p> <p>Occasionally analyzes problems to a satisfactory conclusion.</p>	<p><input type="checkbox"/></p> <p>Generally anticipates and analyzes problems. Establishes priorities and plans schedules accordingly. Recommendations and decisions generally include consideration of all relevant factors.</p>	<p><input type="checkbox"/></p> <p>Consistently applies analytical skills to relevant data. Brings problems and opportunities to the attention of management in a well ordered manner. Exceptionally decisive under time pressure.</p>
<p>Innovation & Creativity -</p> <p>Generating and/or recognizing imaginative techniques or creative solutions to introduce new methods, concept, and processes.</p>	<p><input type="checkbox"/>*</p> <p>Rarely introduces new ideas or methods.</p>	<p><input checked="" type="checkbox"/></p> <p>Can be resourceful but frequently uses established methods for reaching goals.</p>	<p><input type="checkbox"/></p> <p>Frequently demonstrates originality. Offers suggestions or new approaches.</p>	<p><input type="checkbox"/></p> <p>Highly innovative. Frequently consulted for new ideas and methods. Provides creative solutions to complex problems.</p>
<p>Communications (Oral & Written)</p> <p>Effective oral and written expression in presenting ideas individually or in a group. Ability to organize and present ideas in a meaningful form.</p>	<p><input type="checkbox"/>*</p> <p>Performance indicates a deficiency in the following area(s): Verbal communication skill Written communication skill Presentation skill</p>	<p><input type="checkbox"/></p> <p>Communicates effectively in most areas.</p>	<p><input checked="" type="checkbox"/></p> <p>Proficient use of oral and written communication skills. Conveys information in a clear and meaningful form, individually or in groups.</p>	<p><input type="checkbox"/></p> <p>Oral and written communication principles are highly understood. Very effective in planning, organizing, and conveying information and making presentations.</p>
<p>Communications (Effective Listening) -</p> <p>Ability to pick out essence of what is being said or observed. Uses information to identify and analyze problems and opportunities.</p>	<p><input type="checkbox"/>*</p> <p>Problems or inefficiencies are created sometimes by inability to effectively listen.</p>	<p><input checked="" type="checkbox"/></p> <p>Usually aware of the needs of others for information.</p>	<p><input type="checkbox"/></p> <p>Actively listens and observes. Obtains feedback and acts on identified problems and opportunities.</p>	<p><input type="checkbox"/></p> <p>Demonstrates high level or effortful listening. Actively elicits responses. Demonstrates excellent ability to obtain feedback and affect changes in behavior and/or performance.</p>

**Performance Factors
Applicable to All
Managers**

<p>Time Management - Planning and prioritizing work to utilize available time productively. Effectively applying effort over a sustained period of time.</p>	<p><input type="checkbox"/>*</p> <p>Work product is often incomplete and/or late.</p>	<p><input checked="" type="checkbox"/></p> <p>Adequately sets priorities and schedules time with normal supervision in order to complete tasks.</p>	<p><input type="checkbox"/></p> <p>Generally uses time productively and meets deadlines. Steady worker; works extra time when required.</p>	<p><input type="checkbox"/></p> <p>Is highly productive and consistently meets deadlines. Demonstrates sustained effort and willingness to get work out. Stays over to complete assignments on own initiative.</p>
<p>Adaptability - Maintaining effectiveness in varying and changing environments. Adjusting to changing directions, demands, priorities, circumstances or personalities.</p>	<p><input type="checkbox"/>*</p> <p>Often fails to produce adequately when job conditions are altered.</p>	<p><input checked="" type="checkbox"/></p> <p>Usually produces acceptable results when job conditions have been altered. Requires some adjustment period.</p>	<p><input type="checkbox"/></p> <p>Adjusts positively and productively to new environments or changed job conditions in a relatively short period of time.</p>	<p><input type="checkbox"/></p> <p>Meets unexpected or unplanned changes in job conditions with a forward looking attitude. Reacts to challenges as opportunities.</p>
<p>Teamwork - Working and interacting with others in a cooperative manner to accomplish overall business goals. Supporting decisions through individual action.</p>	<p><input type="checkbox"/>*</p> <p>Difficulty in effectively dealing with others. Hinders individual or group goal achievement.</p>	<p><input type="checkbox"/></p> <p>Accepts the need to work with others. Provides assistance and information when requested.</p>	<p><input checked="" type="checkbox"/></p> <p>Develops positive working relations with others. Provides help, advice, and suggestions.</p>	<p><input type="checkbox"/></p> <p>Demonstrates leadership in promoting cooperation and teamwork. Solicits feedback and seeks opportunities to effectively assist others toward achieving individual or group goals.</p>
<p>Initiative & Job Commitment - Initiating action and maintaining active attempts to achieve goals. Tenacity in completing tasks and solving problems. Willingness to exert extra effort to get the job done.</p>	<p><input type="checkbox"/>*</p> <p>Requires frequent direction or prompting.</p>	<p><input checked="" type="checkbox"/></p> <p>Accepts responsibility when it is defined and directions are given. Contributes input when called upon.</p>	<p><input type="checkbox"/></p> <p>Provides extra effort in identifying what needs to be done. Takes independent action and requires little supervision.</p>	<p><input type="checkbox"/></p> <p>Consistently self-motivating. Develops innovative solutions to problems without guidance. Volunteers for difficult assignments.</p>

*This level indicates problems or impediments to acceptable performance. If this behavior is observed, developmental needs should be identified and translated into an action plan (section 4).

**PERFORMANCE FACTORS (OBSERVED)
FOR ALL MANAGEMENT EMPLOYEES WHO SUPERVISE
(Section 2-8)**

Check One
Optional for Non-Supervisors

Performance Factors describe how employees go about
accomplishing job responsibilities.

<p>Leadership - Utilizing appropriate interpersonal methods in guiding individuals toward task accomplishment or common goals. Ability to maintain group cohesiveness and cooperation and facilitate group process.</p>	<p><input type="checkbox"/>*</p> <p>Lack of established direction for the area supervised. Actions do not reflect the support and confidence of subordinates.</p>	<p><input checked="" type="checkbox"/></p> <p>Adequately working relationship with employees. Acknowledges role as leader of area supervised.</p>	<p><input type="checkbox"/></p> <p>Has clear goals for the unit and seeks creative ways to assist employees in adopting them. Manages self well and has gained the trust and confidence of the members of the unit.</p>	<p><input type="checkbox"/></p> <p>Maintains absolute clarity of mission for self, unit and employees. Subordinates are certain of the unit's goals and have taken them as their own. Creatively inspires and motivates unit members to achievement of goals. Builds climate for results.</p>
<p>Development of Subordinates - Developing skills and competencies of subordinates through the creation of insight and/or through training and development activities related to their current and future jobs.</p>	<p><input type="checkbox"/>*</p> <p>Exhibits lack of sensitivity to employees development needs. Provides less than adequate or inaccurate feedback.</p>	<p><input type="checkbox"/></p> <p>Provides coaching when performance or problems with assignments warrant it.</p>	<p><input checked="" type="checkbox"/></p> <p>Counsels and coaches subordinates on a day-to-day basis providing opportunities for feedback. Exhibits an active concern by identifying and supporting training and development activities.</p>	<p><input type="checkbox"/></p> <p>Takes a progressive stance in encouraging professional growth and development. Willing to act as a mentor for others. Increases effectiveness of subordinates by helping them identify their needs, designing or locating appropriate development situations.</p>
<p>Planning and Organizing - Establishing a course of action for self and/or others to accomplish a specific goal; planning proper assignments of personnel and appropriate allocation of resources.</p>	<p><input type="checkbox"/>*</p> <p>Experiences difficulty in defining tasks and organizing own and/or subordinates work.</p>	<p><input checked="" type="checkbox"/></p> <p>Adequately plans own work and that of work group, given pre-established parameters and/or timeframes.</p>	<p><input type="checkbox"/></p> <p>Subordinates are well organized with work structures and priorities known. Objectives and measurements are well established.</p>	<p><input type="checkbox"/></p> <p>Consistently anticipates and systematically plans courses of action in support of objectives. Gives thorough consideration to alternate contingencies in identifying key sequential steps. Very effective resource allocation.</p>

Delegation -

Utilizing subordinates, skills, and energies effectively. Allocating decision making and other responsibilities to the appropriate subordinate.

*

Requires undue amount of supervision to manage people. Has difficulty in giving up job responsibility to others, or in assigning work to the appropriate person.

Delegates job tasks and/or well defined responsibilities to subordinates.

Delegates effectively allowing subordinates the responsibility for gathering and analyzing data and prioritizing work schedules. Provides opportunity for feedback.

Clearly delegates responsibilities, decision making, and authorities to subordinates. Provides effective information and resources to accomplish work assignments. Demonstrates marked ability to target individuals in the organization to successfully carry out assignments.

Control -

Establishing procedures to monitor one's own job activities and responsibilities or to regulate the tasks and the activities of subordinates. Taking action to monitor the results of delegated assignments or projects.

*

Difficulty in recognizing the importance of monitoring or following up on the adequacy or timeliness of work assignments.

Takes action to follow-up on work, tasks, or activities periodically.

Effective in monitoring job activities and responsibilities for self and subordinates. Recognizes budget constraints. Observes work in progress for adequacy and timeliness and provides for periodic feedback or status reports.

Uses systematic and efficient methods for tracking activities for which individuals or organization are responsible. Achieves results within budget. Operates with a heightened sense of urgency when needed yet maintains effective balance between concern for people and concern for work results.

Walking Your Spaces -

ACCESSIBLE - Person-to-person communication. Observation of work at employee's work place. Listening to employees. **SENSITIVE** - Consideration of subordinate's feelings, needs, and ideas. **PERCEPTIVE** - Ability to judge whether employees are doing the right things for the right reasons. Ability to be self-critical. Making decisions and taking action based on one's assessment.

*

Exhibits lack of initiative in making oneself accessible to subordinates. Shows lack of awareness of one's behavior and its impact on others. Demonstrates difficulty in assessing problems or opportunities and in providing follow-up with employees.

Person to person communication is generally open. Is receptive to ideas and needs of subordinates during assignments, scheduled meetings, and/or problem resolution. Provides follow-up on an as-needed basis.

Routinely observes and talks with employees at their work station. Fosters a give and take atmosphere where ideas and needs can be aired openly. Demonstrates ability to determine if people are doing the right things for the right reasons and provides direction or problem resolutions in a timely manner.

Continuously demonstrates an effortful commitment to being accessible to subordinates; open and sensitive to their needs, feelings, and ideas; and perceptive with regard to actions to bring performance in line with expectations. Promotes high standards of excellence by creating an atmosphere where subsequent leadership will be effective.

*This level indicates problems or impediments to acceptable performance. If this box is checked, developmental needs should be identified and translated into an action plan (section 4).

OVERALL EVALUATION
(Section 3)

Check one based on performance during this review period

Unacceptable
Performance

Adequate
Performance

Solid
Performance

Superior
Performance

Exceptional
Performance

Does not meet expectations. Failing to meet basic requirements of the position. Management action necessary.

Meets basic expectations. Performs similar to break-in period on new job. Performance indicates certain limitations. Improvements needed in specific areas.

Fully competent performance. Consistently meets expectations in a timely/quality manner. Considered a valuable employee contributing well to the success of the organization.

Performance which clearly and substantially exceeds expectations for major areas of position. Contributes significantly to work group productivity. Highly effective in many key areas.

Sustained extraordinary performance which far exceeds expectations and significantly adds to work group performance in excess of peer contribution. Top performers in the organization receive this rating. Achievable but seldom attained performance.

NOTE: IF at the end of the review cycle (September) the employee receives an "unacceptable" rating, a formal review of performance must again be conducted at the end of the next quarter.

Supervisor's Summary Statement and Comments:

The overall performance of the Chemistry Group is not acceptable. Although Mr. Fiser has expended a great deal of effort in developing an improvement program, very little implementation has taken place. Extensive effort will be required to make the necessary progress in 1989.

Employee's Comments (Optional)

Prepared by: [Signature] Date: 1-5-89 Reviewed by: _____ Date: _____
Date Discussed with Employee: 1-5-89 Employee Signature: [Signature]

**PERFORMANCE DEVELOPMENT
(Section 4)**

The purpose of this section is to assist the management employee in performing effectively in his/her present assignment by identifying strengths, improvement needs, and developmental activities. Performance development activities can also be viewed as an occasion, an opportunity, for growth in support of career objectives. This section is completed at the beginning of the next review period. (Use additional paper if necessary.)

Career Interests (Completed by employee.)

Be specific. Indicate preferences and alternatives.

A. Next _____

B. Longer Range _____

What strengths and abilities has the employee demonstrated in his/her present or most recent position? (Completed by Supervisor during quarterly and annual reviews.)

Mr. Fiser has a very strong technical understanding of the chemistry area; additionally, he has considerable experience in this area.

In which areas of performance does the employee need the most improvement? (Completed by Supervisor during quarterly and annual reviews. Areas noted should be accompanied by a corresponding performance development action plan. See reverse side.)

Mr. Fiser must become more aggressive in the performance of his duties. Many discrepancies in equipment and personnel performance should have been corrected in a more timely manner. Mr. Fiser has a tendency to wait for corporate assistance in many areas where assistance is either not required or forthcoming.