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	U· S· DEPARTMENT OF THE INTERIOR OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT DIRECTIVES SYSTEM	Subject Number: PER-19 Transmittal Number: 307 Date: 11/25/86

Subject: Performance Management and Recognition System

Approval: Ted D. Christensen | **Title:** Director

1. Purpose. This Directive is provided as a supplement to Departmental Manual Part 370 DM 540 which established operating procedures for the Department of the Interior's Performance Management and Recognition System. The purpose of the Directive is to provide further instructions and operating procedures governing the Performance Management and Recognition System for specific application within the Office of Surface Mining Reclamation and Enforcement (OSMRE). Where the Department Manual release has direct and complete application, a separate OSMRE issuance is not provided.

2. Definition and Table of Contents.

a. Performance Management and Recognition System. The Performance Management and Recognition System, within OSMRE, is a set of rules and administrative procedures which provides the framework for salary adjustments and awards for supervisors and management officials in Grade GM-13, 14, and 15. It is the objective of the Performance Management and Recognition System to recognize and reward the quality of individual performance by linking increases in employee compensation to periodic performance.

b. Table of Contents:

Subchapter 1. General. (No OSMRE issuance necessary. Reference - Federal Personnel Manual, Chapter 540; and Department of the Interior Departmental Manual Part 370 DM 540.)

Subchapter 2. Responsibilities.

Subchapter 3. Identification of Performance Management and Recognition System Employees.

Subchapter 4 Conversion of Employees to the Performance Management and Recognition System.

Subchapter 5. Coverage Disputes.

Subchapter 6. General Pay Increases (No OSMRE issuance necessary. Reference - Federal Personnel Manual Chapter 540; and DOI Departmental Manual Part 370 DM 540.)

Subchapter 7. Merit Increases (No OSMRE issuance necessary. Reference - Federal Personnel Manual Chapter 540; and DOI Departmental Manual Part 370 DM 540.)

Subchapter 8. Pay Administration (No OSMRE issuance necessary. Reference - Federal Personnel Manual Chapter 540; and DOI Departmental Manual Part 370 DM 540.)

Subchapter 9. Performance Awards (No OSMRE issuance necessary. Reference - Federal Personnel Manual Chapter 540; and DOI Departmental Manual Part 370 DM 540.)

Subchapter 10. Performance Awards (No OSMRE issuance necessary. Reference - Federal Personnel Manual Chapter 540; and DOI Departmental Manual Part 370 DM 540.)

Subchapter 11. Orientation and Training.

Subchapter 12. Reports. (No OSMRE issuance necessary. Reference - Federal Personnel Manual Chapter 540; and DOI Departmental Manual Part 370 DM 540.)

Subchapter 13. Evaluation of the Performance Management and Recognition System.

3. Policy, Procedures, and Responsibilities.

a. Subchapter 2. Responsibilities.

(1) Purpose. This subchapter describes the responsibilities of various OSMRE officials regarding the agency's Performance Management and Recognition System.

(2) Authority. These provisions implement the requirements of Title V, as amendend by Public Law 98-615, and the Departmental Manual Chapter 370 DM 540.

(3) Assignment of Responsibilities.

(a) The Director is responsible for administering the Performance Management and Recognition System with OSMRE, including approval of ratings of record incident to the authorization of payment of general increases, merit increases, and performance awards as well as management of the Performance Management and Recognition System budget.

(b) The Deputy Directors and Assistant Directors are responsible for the implementation of Departmental and agency Performance Management and Recognition System policies and operating procedures within their program areas.

(c) The Division of Personnel, OSMRE Headquarters, is responsible for providing technical assistance to the agency in formulating Performance Management and Recognition System policy, implementing provisions of the program and investigating disputes over Performance Management and Recognition System coverage.

b. Subchapter 3. Identification of Performance Management and Recognition System Employees.

(1) Introduction. Public Law 98-615 provides that the Performance Management and Recognition System shall be applied to any GS-13, 14, and 15 level supervisor or management official, as defined in 5 U.S.C. 7103(a)(10) and (11). These definitions are as follows:

(a) A supervisor is defined as "an individual employed by an agency having authority in the interest of the agency to hire, direct, assign, promote, reward, transfer, furlough, lay off, recall, suspend, discipline, or remove employees, to adjust their grievances or to effectively recommend such action, if the exercise of the authority is not merely routine or clerical in nature but requires the consistent exercise of independent judgement...."

(b) A management official is defined as "an individual employed by an agency in a position the duties and responsibilities of which require or authorize the individual to formulate, determine, or influence the policies of the agency."

(2) Identification. The identification of agency supervisors and management officials to be covered by Performance Management and Recognition System shall be made by the Director, Office of Surface Mining Reclamation and Enforcement. Responsibility for identifying supervisors and management officials may be redelegated to the respective Deputy Directors, Assistant Directors, and Field Office Directors.

(c) Subchapter 4. Conversion of Employees to Performance Management and Recognition System

(1) Notification of Coverage Determination. All GS-13, 14, and 15 level employees entering a position covered by the Performance Management and Recognition System shall receive written notice of Performance Management and Recognition System coverage at the time of their entrance on duty, on or before the effective date of the personnel action officially assigning them to a covered position. This notice shall be in writing and shall inform the employee: a. of inclusion in the Performance Management and Recognition System; b. of the right to dispute the determination to the agency as provided in Subchapter 5 of this Directive; and c. of the time limits within which to dispute.

(d) Subchapter 5. Performance Management and Recognition System Coverage Disputes.

(1) Applicability. This subchapter sets forth the procedures by which employees within the OSMRE may obtain a review of the agency's determination as to their coverage or exclusion from the Performance Management and Recognition System. These procedures are promulgated pursuant to Departmental Manual Chapter 370 DM 540,5. The procedures indicated below are supplementary to Departmental procedures set forth in 370 DM 540,5.

(2) Notification of Performance Management and Recognition System Determination. All employees covered by the Performance Management and Recognition System shall receive written notice of such coverage as provided in Subchapter 4 of this Directive. Only those employees considered to be covered shall receive a determination that the employee's position is covered by provisions of Performance Management and Recognition System.

(3) Filing of Disputes. A dispute of Performance Management and Recognition System coverage determination shall be filed with the Director, OSMRE, within 15 days of the receipt of the agency notice of determination. Employees not included in the Performance Management and Recognition System may seek a review of their exclusion at any time.

(a) The dispute must:

1 be in writing;

2 be signed and dated by the employee or designated representative;

3 identify the employee's organization and duty location;

4 include a copy of the determination to be reviewed; and

5 state the reasons why the agency's determination of coverage or exclusion is believed to be improper.

(4) Decision on Dispute. The Director (or his/her designee) shall:

(a) conduct or authorize the conduct of whatever fact-finding and consultation deemed necessary to a fair and complete review of the dispute;

(b) issue a written decision within 30 calendar days following receipt of the dispute; and

(c) state in the decision the reasons why the initial determination is upheld, or overturned.

(5) Finality of Decision. The decision rendered shall be the final administrative decision.

(6) Cancellation of Dispute. A dispute shall be cancelled and the employee so advised in the following circumstances:

(a) on receipt of the employee's written requests; or

(b) when the employee does not, within 30 calendar days of being notified in writing, furnish requested information or duly proceed with the advancement of the dispute.

(7) Records. The Office of Surface Mining Reclamation and Enforcement shall establish a review file which includes:

(a) the notice to the employee of Performance Management and Recognition System coverage;

(b) the employee's request for review;

(c) copies of any documents or official statements developed as result of fact-finding or consultation conducted by (at the request of) the deciding official; and

(d) the final decision.

This file shall be maintained by the Branch of Policy and Evaluation, Division of Personnel, for a period of two (2) years from the date of the final decision.

e. Subchapter 11. Orientation and Training.

(1) Orientation and training for employees entering the system shall be conducted by the Division of Personnel or appropriate management officials, as designated by the Personnel Officer. Such orientation sessions shall be conducted twice annually, at six month intervals.

f. Subchapter 13. Evaluation of Performance Management and Recognition System.

(1) Introduction. The statutory requirement for GAO and OPM oversight of merit pay, performance appraisal and compensation systems make it necessary for OSMRE to develop an internal review system to measure the fairness, consistency, and effectiveness of our Performance Management and Recognition System.

(2) Evaluation Procedures. Evaluation of the operation of agency's merit increase and performance/cash awards programs shall be incorporated into regularly scheduled personnel management evaluations. Internal review procedures shall be designed to determine the fairness, consistency, and effectiveness of the merit increase and performance/cash award programs. The basic data which should be maintained to measure the results of the Performance Management and Recognition System involve:

(a) The overall distribution of performance ratings (i.e., the number of ratings assigned at each of the performance rating levels);

(b) The distribution of employees in the compensation system, within each grade and within each pay range;

(c) the total number of performance and cash awards and dollar amounts of each;

(d) the number of employees removed or reduced in grade;

(e) the turnover rate in covered position; and

(f) basic demographic information, i.e., minority, women, employees over 40 years of age, Vietnam-era veterans, and handicapped.

4. Reporting Requirements: None

5. References. Federal Personnel Manual, OPM, Chapter 540 and Department of the Interior, Departmental Manual Part 370 DM 540.

6. Effective on Other Documents. Replaces Directive PER-19, Transmittal Number 138, dated 10/28/82.

7. Effective Date. Upon Issuance.

8. Contact. Chief, Branch of Policy and Evaluation, Division of Personnel, (202) 343-4656.