



# United States Department of the Interior

OFFICE OF THE SECRETARY  
Washington, D.C. 20240

April 2, 2004

## Personnel Bulletin No. 04-5 (430)

SUBJECT: Cascading GPRA Goals to Individual Employee Performance Results

**1. Purpose.** This establishes the policy that all Department of the Interior employees' individual performance plans must include a Critical Result tied directly to or involved in implementing a Government Performance and Results Act (GPRA) goal, end outcome, intermediate outcome, strategy or performance result.

**2. Authority.** This bulletin modifies the provisions of 370 DM 430 subchapter, and implements the law (5 U. S. C. Chapter 43) and regulations (5 CFR part 430) concerning performance appraisals, and complies with the Government Performance and Results Act (P.L. 103-62).

**3. Policy.** Department of the Interior employees will have at least one Critical Result that is tied directly to or is involved in implementing a Government Performance and Results Act (GPRA) goal, end outcome, strategy or performance result.

a. It is the Department's policy to establish a recognizable link between individual employee performance plans and the mission goals of the agency. Linking employee performance management with the results-oriented mission goals in the GPRA plan will significantly improve the employee's appreciation of his/her role in mission accomplishment.

b. Performance plans and expectations must be clearly communicated to each employee during normal annual performance planning sessions, including an explanation of how the employee's Critical Results are linked to the organizational mission goals and plans.

**4. Coverage.** This policy applies to all bureaus and offices of the Department, including all employees except Presidential appointees, Senior Executive Service (SES) members, employees outside the United States who are paid in accordance with local native prevailing wage rates, administrative law judges, and employees occupying positions excluded by Office of Personnel Management regulations (e.g., excepted service employees whose employment is not reasonably expected to exceed 90 days in a consecutive 12-month period). Bureau/Equivalent Office Heads may grant exceptions to this requirement when appropriate.

5. **Definitions.** The definitions in 370 DM 430 are incorporated by reference.

a. Government Performance and Results Act: Public Law 103-62 requires agencies to develop strategic plans, set performance goals and report annually on actual performance compared to goals. The Act requires a comprehensive mission statement covering major functions and operations of the agency.

b. Mission Area: A collection of related programs and services that are administered by one or more of the Department's bureaus or offices.

c. Strategic Goals: The top level goals of the Department of the Interior.

d. End outcomes goals: A desired result that is to be achieved under a strategic goal category. For example, "Fulfilling Indian Trust Responsibilities" is an end outcome goal for the mission area of "Serving Communities."

e. Intermediate Outcome Goals: Strategies used to achieve end outcomes. For example, for the Indian Trust end outcome, strategies include improving Indian Trust beneficiary services, improving Indian Trust ownership information, and improving management of land and natural resource assets.

f. Outputs: These are typically quantifiable work processes or activities (e.g. permits issued, inspections completed, accounts reviewed.)

6. **Responsibilities.**

a. **Employees** are responsible for:

- (1) participating with their rating official in determining the appropriate GPRA goal, end outcome or performance measure to utilize for determining a critical result and related performance indicators and revising them as necessary during the rating period;
- (2) assuring that they have a clear understanding of their rating official's expectations and requesting clarifications if necessary;
- (3) managing their performance to achieve the critical result and bringing to their rating official's attention circumstances that may affect achievement of critical results;
- (4) wherever possible, seeking performance feedback from their rating official and internal and external customers;
- (5) participating in discussions of their performance; and
- (6) taking action to improve aspects of performance identified as needing improvement.

b. **Rating Officials** are responsible for:

- (1) determining, with the employee's input, the appropriate GPRA goal, end outcome or performance measures to utilize for determining a critical result and related performance indicators, and documenting them on the performance plan;

- (2) monitoring employee performance during the rating period and communicating with employees on an ongoing basis about their performance and about GPRA goals;
- (3) conducting at least two progress reviews for each employee between the initial annual planning session and the end of the rating period;
- (4) whenever possible, obtaining and using feedback from employees, internal and external customers, team members, coworkers, suppliers, or others as appropriate, concerning employee performance;
- (5) assisting employees throughout the rating period in improving aspects of performance identified as needing improvement;
- (6) preparing the rating of record and meeting with employees to discuss the rating and employee development needs;
- (7) recognizing employees who demonstrate high-quality performance and assuring that there is equity and consistency of consideration for Quality Step Increases in the organization for which they are responsible; and
- (8) taking remedial action, in accordance with 5 CFR 432, for employees who do not achieve one or more individual critical results.

**c. Heads of Bureaus and Offices** are responsible for:

- (1) implementing, supporting and communicating to employees about the Departmental Performance Management Program and the GPRA goals, end outcomes, strategies and performance plans; and
- (2) granting exceptions to this mandatory requirement when appropriate.

**d. Director, Office of Personnel Policy** is responsible for:

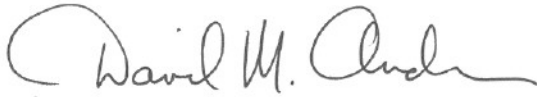
- (1) developing Departmental performance management policy;
- (2) monitoring, evaluating, and revising the performance management program as necessary;
- (3) providing advice and assistance to bureaus in administering the program;
- (4) evaluating the Departmental Performance Management Program; and
- (5) reviewing and ratifying exceptions to this mandatory requirement granted by Heads of Bureaus/Offices.

**7. Labor-Management Obligations.**

Bureaus are reminded to fulfill their labor-management responsibilities, as applicable, before implementation of this policy.

**8. Effective Date.**

This policy is effective with the date of the Personnel Bulletin and shall remain in effect until cancelled, superceded, or replaced by Departmental Manual.

  
for Carolyn Cohen  
Director, Office of Personnel Policy

Attachment: Handbook on Cascading GPRA Goals

U.S. Department of the Interior

# **HANDBOOK ON CASCADING GPRA GOALS**

*Bringing employee performance  
appraisal into the GPRA process*

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# HANDBOOK ON CASCADING GPRA GOALS

*Bringing employee performance appraisal  
into the GPRA process*

## **Introduction**

The Department of the Interior (DOI) has long recognized the potential benefits of using the Performance Appraisal System as a method of implementing the requirements of the Government Performance and Results Act (GPRA) of 1993. The Departmental GPRA goals in 1998 contained a requirement that bureaus begin to use employee performance appraisals to recognize the need for accountability for GPRA goals.

The DOI FY 2003 Workforce Plan states that, “to be an effective, performance based organization the Department must build a better performance appraisal system that links individual success with organizational achievement. Such a system will establish individual performance expectations, evaluate results, provide for individual accountability and give performance recognition - all linked to the organizational goals and missions of the Department.” This can best be achieved by ensuring that each employee sees and understands that his or her individual performance plan is directly linked to the annual strategic goals and is evaluated on his or her achievement of those goals.

This handbook assumes that GPRA mission areas and strategic goals are known, and that Senior Executive Service (SES) members have been assigned GPRA goals in their performance plans.

## **Policy**

The Department recognizes the importance of establishing a recognizable link between individual employee performance plans and the mission goals of the agency. Linking employee performance

management with the results- oriented mission goals in the GPRA plan will significantly improve the employees' understanding and appreciation of their role in mission accomplishment. Therefore, Department of the Interior employees will have at least one critical result that is tied directly to or is involved in implementing a Departmental mission goal.

Enhanced communication of mission goals will improve employee understanding of organizational mission goals and plans. Performance plans and expectations must be clearly communicated to the employees involved during normal annual performance planning sessions.

### **Coverage**

This policy applies to all DOI bureaus and offices. These provisions apply to all employees except Presidential appointees, Senior Executive Service (SES) members, employees outside the United States who are paid in accordance with local native prevailing wage rates, administrative law judges, and employees occupying positions excluded by Office of Personnel Management regulations (e.g., excepted service employees whose employment is not reasonably expected to exceed 90 days in a consecutive 12 month period). Bureau/Equivalent Office Heads may grant exceptions to mandatory requirement of this policy when appropriate.

### **Reasons for Cascading GPRA Goals**

To implement the requirements of the Government Performance and Results Act managers must ensure that the specific GPRA goals are achieved and that employees are held accountable for producing value-added, quantifiable results. The Office of Management and Budget, in Circular A-123, has defined "management accountability" as, "the expectation that managers are responsible for the quality and timeliness of program performance, increasing productivity, controlling costs and mitigating adverse aspects of agency operations, and assuring that programs are managed with integrity and in compliance with applicable law." This accountability can only be realized when all employees understand their role in the outcome and fully participate in implementing the goal. Managers at every level are accountable for the performance of their organization in support of the Department's goals. Cascading GPRA goals is essential to successfully bringing each employee into this activity.

Further, most federal employees were initially attracted to the federal service because of a desire to make a difference in programs they feel strongly about. By communicating clear organizational goals, the agency is identifying with the motivators that first attracted the employees to work for the federal service. Employees who understand how their work fits into the broader mission of the agency will have a better appreciation of the importance of their work, which will improve employee morale and productivity and give them a real stake in the outcome itself.

## ***Methods of Cascading GPRA/Mission Goals***

How should GPRA/mission goals be reflected in the performance plans of Interior's employees? There are several alternative ways this cascading can be done and perhaps several variations on each method. There is no right or wrong way; one method may work better than another in some situations and not in others. The differences in organizational goals, structure, and method of operating in various organizations may make one method seem easier to implement than another. Each alternative method should be considered and the most feasible used. It may help to use one method to initially identify the specific employees who should have critical results associated with a certain GPRA/Mission Goal and then use an alternative method to verify that the goal selected is the appropriate one.

If an employee's duties do not specifically support the accomplishment of a GPRA goal, you may link the critical results to a President' Management Agenda, Citizen-Centered Governance, or other strategic mission goal of the organization. When using numerical goals, the goal must be reasonable and achievable. Under the current Pass/Fail (2-level) employee performance appraisal system for non-SES, employees "Fail" if they receive a "Not Achieved" on a Critical Result in their performance plan. Performance requirements and expected results should be worded in a way (including numerical or percentage goals) as to allow for qualitative considerations and mitigating circumstances not under the employee's control, and describe the lowest acceptable measurable result.

### **A. Top-Down Cascading of GPRA Strategic Plan**

The strategic goals and measures of the Department of the Interior's FY 2003-2008 GPRA Strategic Plan begin on page 43 of the Plan. The plan relates each mission area, such as Resource Use, with End Outcome Goals and



Outcome Performance Measures that are critical supporting elements of the Department's work. These End Outcome Goals are further broken down into a third level of goals, or strategies, with performance measures that are employed by bureaus and offices to direct and gauge daily activities. Mapping out these goals, strategies and measures may allow the supervisor to show the employee how their work contributes to the goals of the organization. For example:





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Several methods of top-down cascading can be used, with examples provided below:

1. Direct Cascade:

A Regional Director may have a measure linked to the End Outcome Performance Measure, in the water delivery area, of “10 million acre-feet of water delivered consistent with applicable substantive and procedural requirements of Federal and State water law”(exhibit 1). An appropriate subordinate manager may be responsible for achieving a portion of that performance goal. When that direct link is the case, the Critical Result in the Employee Performance Plan (DI-2002) for the subordinate manager may be “2 million acre-feet of water delivered consistent with applicable substantive and procedural requirements of Federal and State water law” (exhibit 3).

2. Cascade to Strategy:

The same Regional Director described in paragraph 1. above may have a different subordinate that supports one of the End Outcome Goal 5 Strategies (#2): *Effective Water Management to Optimize Supply*. That subordinate manager could have a Critical Result in his/her Employee Performance Plan (DI-2002) of “At least 25 agreements, partnerships and management options exercised resulting in improved water supply” (exhibit 3). Employees reporting to that manager would have Critical Results in their Employee Performance Plans that relate to their specific duties and support the strategy of *Efficient Water Management to Optimize Supply*. For example, the manager’s Secretary must carry out clerical and administrative functions in a timely and professional manner in order to facilitate the manager’s ability to finalize agreements and partnerships.

3. Cascading Percentage Goals:

The same Regional Director from paragraph 1. above may also have a measure linked to the “Reliability” End Outcome Measure of “96% of water facilities do not receive Federal or State notices of violation under environmental requirements as defined by Federal and State Law” (exhibit 2). To achieve the 96% goal, the Regional Director must ensure that 283 of the 293 water facilities under his/her responsibility do not receive Federal or State notices of violation under environmental requirements as defined by Federal and State Law. Cascading of this goal and performance measure would therefore focus on the number of

facilities that do not receive Federal or State notices of violation under environmental requirements as defined by Federal and State Law. Another subordinate manager (who is responsible for the management of 150 water facilities) could have a Critical Result in his/her Employee Performance Plan (DI-2002) of *“Ensures at least 144 (or 96%) of 150 water facilities do not receive Federal or State notices of violation under environmental requirements as defined by Federal and State law”* (exhibit 3), and the employees working for that manager will have Critical Results in their performance plans that relate specifically to the jobs that they hold. For example, a Water Treatment Equipment Operator may have a Critical Result of *“Water treatment equipment is maintained in good operational condition, with no more than one malfunction per year that would result in a violation under environmental requirements as defined by Federal and State law.”*

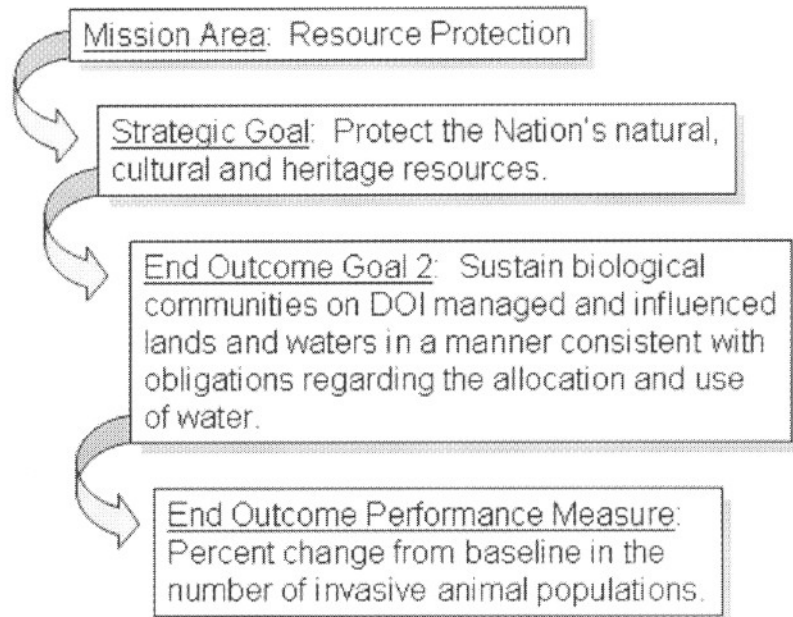
#### 4. Cascading to Supporting Actions and Activities

The Regional Director used in paragraph 3. above, may also develop critical results and performance indicators for his/her direct reports using supporting actions or activities. For instance, if one of the primary contributing factors to receiving a notice of violation is the presence of hazardous waste, the direct report could have a critical result of *“Reduces hazardous waste at water facilities by developing programs for the collection, filtering, and reuse of cleaning solvents, oil, and other hazardous materials.”* Another direct report who works in an area where water flow results in notices of violation of the Endangered Species Act, may have a critical result of *“Monitors river minimum water flows to ensure compliance with Endangered Species Act requirements.”* A GS-4 Clerk working for this individual may have a critical result of *“Office files, including those related to river water flow levels and the Endangered Species Act, are well organized and maintained so that information is complete and readily accessible.”*

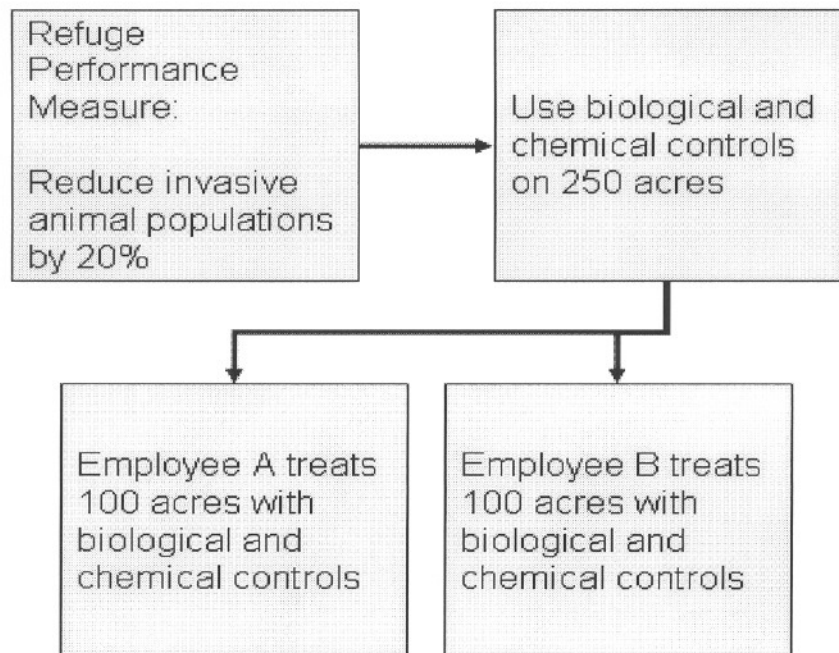
#### 5. Charting Work Flow through Bureau Hierarchy

You may want to use a visual method of charting the flow of work to determine how the work flows out to the operating level. A way to accomplish this is to begin with the Strategic Plan, then look at strategic goals, end outcomes and strategies and chart the flow of the work through the bureau hierarchy to find where those goals are implemented. Once the individuals at the operating level who implement the Strategic goals

are identified, Critical Results could be described which should include showing how those results support the strategic goals identified.  
Example:



"All American" National Wildlife Refuge



The task assignments for employees A and B can be converted into Critical Results which are related directly to the current GPRA Strategic plan and provide a line of sight for both the employee to see how their work supports major mission goals and top level managers to see how the organization implements the Strategic plan.

## **B. Converting Activity Based Costing (ABC) Activities to Critical Results**

An ABC activity is defined as a unit of work that has identifiable starting and ending points, and consumes inputs and produces outputs. ABC activities must be broken down into the tasks or duties assigned to the employee, and those that meet the following criteria can be used as Critical Results:

- a. The task or duty is an important part of the employee's overall job.
- b. The task or duty addresses only one individual's performance— that is, it does not cover other employees.
- c. The task or duty requires a significant amount of the employee's work time.
- d. The task or duty was considered in classifying the employee's position as a part of the grade determination.
- e. The task or duty affects the accomplishment of the organization's mission.

An ABC activity may support several different GPRA strategies or goals. The supervisor and the employee must work together to use their experience and judgment to decide which activity(s) to convert to a critical result and which strategy that activity supports.

## **C. Career Groups**

A major effort was undertaken by Interior's Personnel Officers working with the Office of Personnel Policy to identify the major career groups involved in implementing various GPRA goals. Those career groups each consisted of several occupations. The identification of occupational groupings involved in implementing the GPRA goals might be used to relate specific occupations with various GPRA goals and end outcomes, and provide a workable method to help supervisors and employees in the task of identifying appropriate Critical Results which are tied to GPRA goals.

For example, the following occupational groupings can be considered to be involved directly in implementing End Outcome Goal #1 "Protect Lives,

Resources and Property” in the Mission Area: Serving Communities: Management planning and analysis, program management, education and training, law enforcement, fire protection, community, environment, outdoor recreation, park ranger, social science, biological science, facilities management, engineering and architecture. Critical results for those occupational groupings should be identified as linking directly to that End Outcome Goal.

### **Bottom-Up Approach**

This method looks at the organization at the operating level and identifies the unit’s accomplishments (results) and describes the results.

1. Begin at the operating level and identify the work unit outcomes and results. You can start by answering the question, “What product or service does the work unit provide that helps the bureau meet its goals?”
2. Determine individual accomplishments that support the work unit goals. To help, you can answer the question, “What result must each individual produce to support the product or service of the work unit?”
3. Convert results into performance elements. [Note: Our non-SES employee performance system allows 1 to 5 critical results. A pass/fail system does not allow non-critical results. Team results may be used as additional elements or results, but may not be critical results; that is, failure of the team would not result in failure of the individual.]
4. Find unit and individual measures By asking the question, “How well is the service or product being provided?” [Note: In the current DOI non-SES employee performance system, the performance indicators are already identified under general categories of Quality, Teamwork, and Customer Service.]
5. Finally, trace the outcome and results back to specific end outcomes (or intermediate end outcomes) and thus to strategic goals.

*[Note: This method is only applicable where there exists a clear and identifiable link between the duties of the position (assignments) and the strategic goals.]*

Bottom-Up Flow Chart Example:

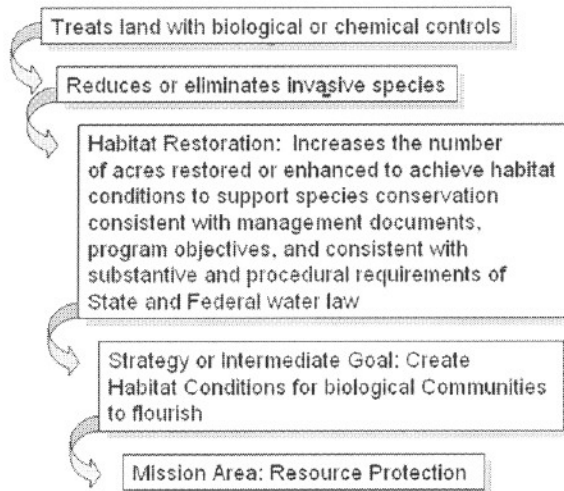
National Wildlife Refuge X has a habitat restoration project in which employees utilize biological and chemical controls to reduce the number of acres infested with invasive plants and/or animals. The following example will show how that employee's work can be linked to the **RESOURCE PROTECTION** mission area and the **End Outcome Goal 2: Sustain Biological Communities on DOI Managed and Influenced Lands and Waters in a Manner Consistent with Obligations Regarding the Allocation and Use of Water**. An excerpt from that portion of the FY 2003 – 2008 Department of the Interior Strategic Plan is attached for your reference (exhibit 4).

1. *What product or service does the work unit provide that helps the bureau meet its goals?* – Habitat Conservation
2. *What result must each individual produce to support the product or service of the work unit?* – Application of biological or chemical controls to reduce or eliminate invasive species (plant and animal).
3. *Performance Elements* –
  - Treats 250 acres with biological or chemical controls to reduce the number of acres infested with invasive plant species.

Or

  - Treats 250 acres with biological or chemical controls to reduce invasive animal populations.

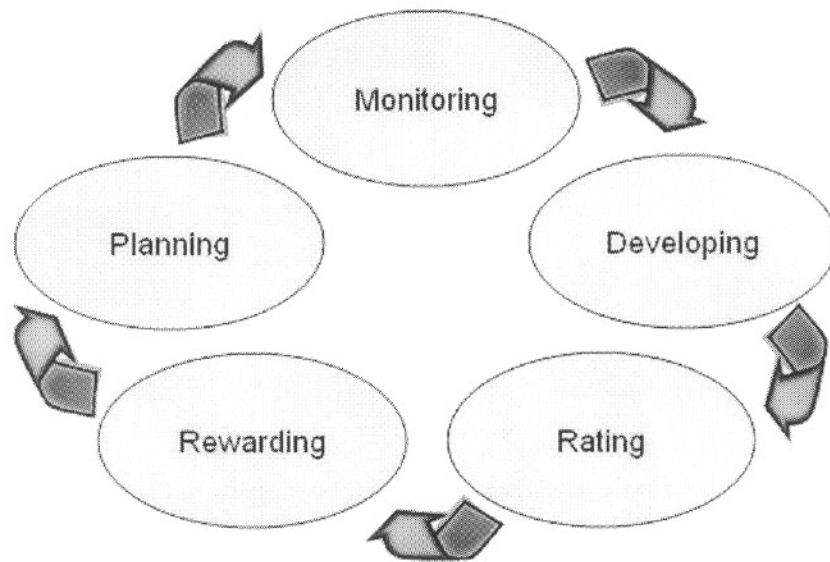
Trace of outcomes and results back to strategic goal:



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## Performance Appraisal Cycle

Appraising employee performance is a continuous cycle that follows a logical pattern. Each of the stages that follow is part of the cycle. While they generally occur in the order presented here, it should be noted that all phases are interconnected and affect each other.



## Planning

The most crucial question of any performance system is: How well does the performance system inform the employee of what is expected of them on the job? If the employee does not understand what is expected of them, there is little chance of having successful performance. The supervisor must spend whatever time it takes to ensure there is effective communication and understanding from the beginning of the rating cycle as to expectations and how their work fits into the mission of the organization. Employees must be involved in the development of their critical results.

The Corporate Leadership Council Study found “Employee understanding of performance standard to have the largest impact on performance”<sup>i</sup> The Gallup Study found the most significant factor in defining a great workplace is “I know what is expected of me at work.”<sup>ii</sup> The Merit System Protection Board’s review of performance-based actions puts significant weight on



whether the employee was adequately informed about what was expected of them. The Hay Group found that “Performance goals, no matter how high, must be communicated clearly.”<sup>iii</sup>

As part of the initial performance planning sessions, after the supervisor and the employee have completed a thorough discussion of the performance elements, supervisors should ask employees to explain in detail what the performance goals are to test whether the employee has an adequate understanding of the goal. Each employee should be capable of articulating the performance expectations in their own words before the performance period begins. If there is any confusion, this is the time to discover it and correct it.

Critical Results/Elements must focus on accomplishments. Supervisors must define what the desired result is, how well the work is to be done (indicators), and how the work will be measured. Critical results must be measurable, understandable, verifiable, equitable, and achievable. It is crucial to include employee in the planning process. The Department’s performance management system has identified a series of generic performance indicators under the general categories of Quality, Teamwork, and Customer Service. These may help the supervisor in determining which indicators should apply to which critical results. Supervisors should discuss these indicators with the employees involved, discuss which indicators apply to each result and create additional indicators if necessary.

The Planning phase culminates in the development of a performance plan and the identification of the critical results and performance indicators. The employee should be asked to sign the plan indicating they understand what the performance plan is and what they are expected to accomplish during the rating period.

## **Monitoring**

The supervisor must continually measure performance through observation and documentation. This process consists of very frequent verbal discussions and feedback as the supervisor sets goals and uses every opportunity to confirm that the employee is on the right track or gives timely guidance about course corrections. Supervisors should set short or intermediate term performance goals that are attainable and celebrate the successful attainment of these goals. There must be at least two performance reviews and feedback sessions which are documented during each rating period. Supervisors should identify unacceptable performance at any time during the rating cycle and



## Labor-Management Obligations

Bureaus are reminded that they must fulfill their labor-management responsibilities, as applicable, before implementation of this new policy. Generally, the content of a critical result or standard is not negotiable because it is a part of the management right to direct employees and assign work. However, if a proposed policy change covers bargaining unit employees, at a minimum the union must be given appropriate notice and afforded an opportunity to negotiate on the impact and implementation of the changes. Specific questions should be addressed to the appropriated human resources office.

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<sup>i</sup> Coffman, Curt (2002). *Follow this Path: How the World's Greatest Organizations Drive Growth by Unleashing Human Potential*. New York: Warner Books, Inc. (The Gallup Organization) page 81

<sup>ii</sup> Corporate Leadership Council (2002). *Building the High-Performance Workforce, A Quantitative Analysis of the Effectiveness of Performance Management Strategies*. Washington, D.C.: Corporate Executive Board. Page 19b

<sup>iii</sup> Weiss, Tracy B., F. Hartle (1997). *Performance Management Breakthroughs in Achieving Strategy Through People*. Boca Raton, FL: St. Lucie Press (The Hay Group) page 150

**Goal 5**

End Outcome Goal	End Outcome Performance Measures
<p><b>Water</b></p> <p>Deliver Water Consistent with Applicable State and Federal Law, in an Environmentally Responsible and Cost-Efficient Manner</p>	<p><b>Water Delivery:</b></p> <ul style="list-style-type: none"> <li>▪ Acre-feet of water delivered consistent with applicable substantive and procedural requirements of Federal and State water law</li> </ul> <p><b>Reliability:</b></p> <ul style="list-style-type: none"> <li>▪ Quantity of acre-feet of restricted capacity (lower # is good)</li> <li>▪ Percent of water facilities that do not receive Federal or State notices of violation under environmental requirements as defined by Federal and State law.</li> </ul> <p><b>Maximize Cost-Efficiency and Value:</b></p> <ul style="list-style-type: none"> <li>▪ Cost per acre-foot of water to operate water storage facilities at full capacity. (lower number is good)</li> </ul>

**SES and Manager in Example 1**

**SES and Managers in Examples 3 and 4**

**Goal 5 — Strategies and Performance Measures**

<p><b><u>Strategy 1: Operate and Maintain a Safe and Reliable Water Infrastructure</u></b></p> <ul style="list-style-type: none"> <li>▪ <i>Facilities Reliability:</i> Water infrastructure are in fair to good condition as measured by the Facilities Reliability Rating</li> <li>▪ <i>Facilities Condition:</i> Facilities (exclusive of dam facilities) are in fair to good condition as measured by the Facilities Condition Index (FCI)</li> </ul>
<p><b><u>Strategy 2: Effective Water Management to Optimize Supply</u></b></p> <ul style="list-style-type: none"> <li>▪ Number of agreements, partnerships and management options exercised resulting in improved water supply</li> </ul>
<p><b><u>Strategy 3: Address Environmental / Resource Stewardship Concerns</u></b></p> <ul style="list-style-type: none"> <li>▪ <i>Requirements:</i> Percent of environmental audit findings and reviews addressed [results pertain to both water and hydropower facilities]</li> </ul>
<p><b><u>Strategy 4: Complete Construction Projects to Increase Delivery Infra-structure and Water Availability</u></b></p> <ul style="list-style-type: none"> <li>▪ <i>Increased Supply:</i> Potential acre-feet made available through completion of projects</li> </ul>

**Manager in Example 2**



U.S. DEPARTMENT OF THE INTERIOR  
SENIOR EXECUTIVE SERVICE PERFORMANCE PLAN

*Accountability, Integration, Modernization, and Customer Value*

Employee's Name: \_\_\_\_\_ Appraisal Period: \_\_\_\_\_  
Position: \_\_\_\_\_ Bureau/Office: \_\_\_\_\_  
Duty Location: \_\_\_\_\_ ES Level: \_\_\_\_\_

**NOTE: IF A MANDATORY ELEMENT IS NOT APPLICABLE TO A SPECIFIC POSITION, RATING OFFICIALS ARE AUTHORIZED TO MODIFY THE ELEMENT OR**

**SES Performance Measure  
for Example 1 and 2**

**PART I. PERFORMANCE PLAN:** *If the Performance Element is not applicable to the position, the rating official may modify the element or*

*ent.*

**Performance Element 1: Government Performance and Results Act**

Performance Requirement and Associated Performance Measures

Measure: RESOURCE PROTECTION GOAL 5 - 10 million acre-feet of water delivered consistent with applicable substantive and procedural requirements of Federal and State water law.

Measure: RESOURCE PROTECTION GOAL 5 - 96% of water facilities do not receive Federal or State notices of violation under environmental requirements as defined by Federal and State Law.

**Performance Element 2: Citizen-Centered Management Agenda**

Performance Requirement and Associated Performance Measures

**SES Performance Measure  
for Example 3**

(Include mandatory criterion applicable to the specific position assignment.)

***Strategic Management of Human Capital***

**Mandatory Criterion:** Align human capital policies, recruitment, training, leadership development, and diversity initiatives to effectively support accomplishment of the bureau's mission, goals and strategies.

***Citizen-Centered E-Government***

**Mandatory Criterion:** Promote E-Gov and GPEA Implementation, and Enhance Information Technology Management.

***Improved Financial Management***

**Mandatory Criterion** Ensure Financial and Managerial Accountability





**U.S. DEPARTMENT OF THE INTERIOR  
EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT**

Employee's Name:	Rating Period:
Title/Series/Grade:	Bureau/Office:
Duty Location:	Social Security No.:

PART I. PERFORMANCE PLAN	RESULTS (Enter: Achieved or Not Achieved)
CRITICAL RESULTS <i>(List no more than five)</i>	
A. 2 million acre-feet of water delivered consistent with applicable substantive And procedural requirements of Federal and State water law.	↓ Manager (SES Direct-Report) in Example 1
B. At least 25 agreements, partnerships and management options exercised resulting in improved water supply.	↓ Manager (SES Direct-Report) in Example 2
C. Ensures at least 144 water facilities do not receive Federal or State notices of violation under environmental requirements as defined by Federal and State law.	↓ Manager (SES Direct-Report) in Example 3
D. Reduces hazardous waste at water facilities by developing programs for the collection, filtering, and reuse of cleaning solvents, oil, and other hazardous materials.	↑
E. Tracks river minimum water flows to ensure compliance with Endangered Species Act requirements and ensures corrective actions are taken where appropriate.	↑ Managers (SES Direct-Reports) in Example 4

**PERFORMANCE INDICATORS.** Appraisals should fairly reflect the overall performance of an employee. Performance indicators identify those characteristics (such as quality, teamwork, customer service) that are important to successful performance in each critical result. In appraising an employee's performance, the rating official will carefully review the performance indicators in assessing whether a particular critical result has been achieved by the employee.

Generally, an employee will not be rated as "Results Not Achieved" in the critical result to which a particular performance indicator applies where there is only one failure in that performance indicator. It follows, of course, that a repetition of failures in a single performance indicator can be the basis for a "Results Not Achieved" rating for the critical result if, in the rating official's judgment, the critical result was not met overall. There may be situations where a single, particularly significant failure to maintain the level of performance expected in a particular performance indicator could warrant a determination that the employee will receive a "Results Not Achieved" for the applicable critical result. A significant failure could include, for example, harm to persons or property, a loss of a great amount of money or resources, or a breach of security.

**MISSION AREA: RESOURCE PROTECTION**

**GOAL 2**

End Outcome Goal	End Outcome Performance Measures
<p><b>Sustain Biological Communities on DOI Managed and Influenced Lands and Waters in a Manner Consistent with Obligations Regarding the Allocation and Use of Water</b></p>	<ul style="list-style-type: none"> <li>▪ Percent of species of management concern that are managed to self-sustaining levels, in cooperation with affected States and others, as defined in approved management documents</li> <li>▪ Percent of threatened or endangered species listed a decade or more that are stabilized or improved</li> <li>▪ Percent of candidate species where listing is unnecessary as a result of conservation actions or agreements</li> <li>▪ Percent change from baseline in the number of acres infested with invasive plant species</li> <li>▪ Percent change from baseline in the number of invasive animal populations</li> </ul>

**Goal 2 — Strategies and Performance Measures**

**Strategy 1: Create Habitat Conditions for Biological Communities to Flourish**

- *Habitat Restoration:* Number of acres and stream/shoreline miles restored or enhanced to achieve habitat conditions to support species conservation consistent with management documents, program objectives, and consistent with substantive and procedural requirements of State and Federal water law
- *Integrated Management:* Number of acres of landscapes and watersheds managed through partnerships and networked lands that achieve habitat protection
- *Voluntary Stewardship Partnerships:* Number of acres and stream/shoreline miles achieving habitat/biological community goals through voluntary agreements

**Strategy 2: Manage Populations to Self-Sustaining Levels for Specific Species**

[No key measures]

**Strategy 3: Improve Information Base, Information Management and Technical Assistance**

- *Forge Effective Partnerships:* Satisfaction scores on biological research partnerships
- *Quality:* Percent of studies validated through appropriate peer review or independent review
- *Facilities Condition:* Conservation and biological research facilities are in fair to good condition as measured by the Facilities Condition Index (lower FCI number is good)