



## Performance Agreement and Appraisal Department of the Interior Senior Executive Service



Executive's Name:		Bureau/Office:
Title:	Location:	Rating Period:

Executives in the Department of the Interior are accountable for supporting Departmentwide and Bureau Strategic Plans, missions, and organizational objectives. This Agreement identifies critical job elements and establishes performance requirements for each element. As described below, executives will be appraised on critical elements in two categories: 1) The *Departmentwide Element*, which includes responsibilities shared by all executives, and 2) *Position-specific elements*, which are specific to individual executives and are linked to organizational goals and objectives. Each executive's performance must be appraised against these performance requirements (set at the beginning of each appraisal period).

### Part I: Consultation

The signatures below certify that the supervisor has developed the performance agreement in consultation with the executive, discussed the agreement with the executive, and provided examples of behaviors that would/would not meet the performance standards. The discussion occurs at the beginning of the performance rating period. The executive is given a copy of the agreement.

Executive's Signature:		Date:
Rating Official's Name:	Signature:	Date:
Reviewing Official's Signature (Optional):		Date:

### Part II: Progress Review

Executive's Signature:		Date:
Rating Official's Signature:		Date:
Reviewing Official's Signature (Optional):		Date:

### Part III: Annual Summary Rating

**Rating Official:**    Exceptional    Superior    Fully Successful    Minimally Successful    Unsatisfactory

Rating Official's Signature:		Date:
Reviewing Official's Signature (Optional):		Date:

*This evaluation has been discussed with me and I have been given a copy. I am aware that if I decide to submit a narrative response and/or request a higher level review, one or both must be submitted in writing within 10 workdays of receipt of my evaluation (see instructions).*

Employee's Signature:		Date:
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Check if applicable:       I request a higher level review.

**Performance Review Board Recommendation:**  
 Exceptional    Superior    Fully Successful    Minimally Successful    Unsatisfactory

*If recommended rating differs from initial summary rating, the Board must identify specific elements where there is disagreement and rationale for recommendation.*

PRB Chairperson's Signature:		Date:
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**Final Rating:**       Exceptional    Superior    Fully Successful    Minimally Successful    Unsatisfactory

**Recognition:**    \_\_\_\_\_% Pay Increase    \_\_\_\_\_% Performance Award    \$\_\_\_\_\_ Special Act Award    \_\_\_\_\_Hours Time Off

Appointing Authority (or Designee) Signature:		Date:
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## Element Rating Definitions

**Exceptional** - Consistently delivered on assignments and commitments; displayed outstanding leadership in promoting the organization's strategic goals and initiatives; demonstrated the highest level of integrity and accountability in achieving program and management goals. Contributions had an impact beyond his or her immediate purview. Executive exerted a major positive influence on management practices, operating procedures or program implementation, which contributed substantially to organizational change, growth and recognition. This executive's expertise, advice and opinions are sought and respected by peers.

**Superior** - Performance is between the levels described for Exceptional and Fully Successful. Performance outcomes and results of the executive's leadership surpassed expectations by exceeding the majority of performance requirements. Effectiveness and contributions may have had an impact beyond the executive's purview and performance is well beyond what is expected or required for the position. Consistently demonstrated the highest level of integrity and accountability in achieving program and management goals. Served as a source of leadership and motivation for peers and subordinates.

**Fully Successful** - Performance demonstrates the Fully Successful level of accomplishment through observable outcomes or achievement of or substantial progress toward agreed-upon critical action, objective, and/or desired result. Expectations were consistently met with solid, dependable performance. Performance reflects notable achievements and the executive regularly demonstrated the ability to meet the difficult and complex requirements inherent in SES positions, while consistently demonstrating the highest level of integrity and accountability in achieving all program objectives and management goals; *no areas of performance are deficient.*

**Minimally Successful** - Performance is between the levels described for Fully Successful and Unsatisfactory. Overall performance was marginally acceptable and occasionally less than Fully Successful. The executive had difficulties in meeting performance expectations. Actions taken by the executive were sometimes inappropriate or marginally effective. Immediate improvement in performance is essential.

**Unsatisfactory** - Performance fails to demonstrate the Fully Successful level of accomplishment or progress toward the agreed-upon critical action, objective and/or desired result to such an extent that *it results in demonstrable negative consequences for the organization.* Removal from the position is required.

## Part IV: Rating Calculation

Reason for Rating                       Annual Rating                       Departure Rating                       Other \_\_\_\_\_

### Mandatory Departmentwide Element

Element 1             Exceptional             Superior             Fully Successful             Minimally Successful             Unsatisfactory

### Position-specific Elements

Element 2             Exceptional             Superior             Fully Successful             Minimally Successful             Unsatisfactory

Element 3             Exceptional             Superior             Fully Successful             Minimally Successful             Unsatisfactory

Element 4             Exceptional             Superior             Fully Successful             Minimally Successful             Unsatisfactory

Element 5             Exceptional             Superior             Fully Successful             Minimally Successful             Unsatisfactory

Element 6             Exceptional             Superior             Fully Successful             Minimally Successful             Unsatisfactory

Element 7             Exceptional             Superior             Fully Successful             Minimally Successful             Unsatisfactory

### Conversion to Initial Summary Rating:

The executive's rating is determined by using the formula below, taking into consideration the ratings for the Departmentwide element and each Position-specific element. The definitions below describe the minimums for each rating level. If the individual ratings on the elements meet the definition for a higher summary rating level, the higher summary rating level applies.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Exceptional</b>	<b>Superior</b>	<b>Fully Successful</b>	<b>Minimally Successful</b>	<b>Unsatisfactory</b>
Rated Exceptional on 75% or more of the elements; no elements rated below Superior.	Rated Superior on 75% or more of the elements; no elements rated below Fully Successful.	Rated Fully Successful or higher on all elements.	Rated Minimally Successful on one or more elements, no elements are rated Unsatisfactory.	Rated Unsatisfactory on any element.

If plan has 7 elements total, 75% = 6 elements;    If plan has 6 elements total, 75% = 5 elements  
 If plan has 5 elements total, 75% = 4 elements;    If plan has 4 elements total, 75% = 3 elements  
 If plan has 3 elements total, 75% = 3 elements

## Part V: Performance Elements

### Element 1: Mandatory Departmentwide Element (Fully Successful Standard)

All Interior executives share certain critical responsibilities that are instrumental for achieving results. These responsibilities reflect those that are shared by all Department of the Interior executives. The executive and immediate supervisor jointly review these responsibilities to ensure mutual understanding.

**Strategic Alignment:** Develops, prioritizes and aligns strategies, objectives and goals, taking into account key influences on organizational performance. Successfully leads organizational change, effectively communicating the organization's mission, core values, and strategic goals to employees and other stakeholders. Fosters open discussion of change efforts and encourages employee participation in problem solving, streamlining, and/or reengineering of processes or procedures to improve organizational effectiveness.

**Leadership, Integrity and Excellence:** Creates and sustains a positive workplace that inspires others to support the organization's mission and goals. Uses sound judgment to make effective and timely decisions. Exhibits leadership style that demonstrates integrity, sound judgment and high ethical standards of public service. Models the Department's core values statement: "Stewardship for America with Integrity and Excellence." Motivates others to achieve high performance through open and honest communication. Creates an environment for continuous learning. Develops and recognizes employees so that they realize their full potential. Establishes and maintains a culture of professionalism and integrity where employees are treated with dignity and respect. Fosters diversity, equality of opportunity, innovation, initiative, risk-taking, open and honest communications, and trust and teamwork among employees and peers.

**EEO:** Demonstrates an understanding of and commitment to equally employment opportunity. Implements the EEO and affirmative employment goals established by the bureau/office. Ensures employment decisions are made without regard to sex, race, color, national origin, religion, age, disability, sexual orientation or identification, prior participation in the EEO process, or any other non-merit reason. Ensures subordinate supervisors have effective managerial, communication and interpersonal skills to supervise and develop a diverse workforce. Actively supports policies on anti-harassment, reasonable accommodations, and diversity.

**Effective Supervision:** Sets effective workforce performance standards aligned with organizational goals and engages in rigorous and realistic performance management of others. Effectively uses ongoing feedback, coaching, and timely evaluations of performance to promote cooperation, teamwork, knowledge/skill sharing, and goal accomplishment. Ensures that performance appraisals/ratings provide for meaningful distinctions of performance. Appropriately recognizes and rewards performance through monetary, non-monetary, and honor awards. Advocates a safe and healthy workplace by maintaining personal knowledge and promoting awareness of Interior safety, health, and environmental policies, practices, and procedures to avoid preventable injuries and loss of work.

**Internal Controls and Business Results:** Pursues business excellence through effective process management and the application of balanced measures. Develops and executes plans to achieve organizational goals, leveraging resources (human, financial, etc.) to maximize efficiency and produce high quality results. Ensures effective internal and management controls and takes appropriate action to strengthen controls or correct identified weaknesses. Responds appropriately to GAO, IG or other internal or external audit reports. Ensures that corrective action plans that fix the identified weaknesses are implemented. Advocates organizational integrity by maintaining personal knowledge and promoting awareness of acceptable business practices and procedures to prevent misconduct and mismanagement, and instill public trust. Monitors and evaluates programs and work practices to identify and report waste, fraud, and abuse. Learns about current and emerging issues/developments in own field of expertise and applies knowledge to make technically sound operational decisions. Identifies and utilizes policies and economic, political, and social trends in an effort to improve organizational performance. Initiates actions and manages risks to develop new products and services within or outside the organization. Acts to continuously improve products and services. Ensures awareness of and compliance with applicable IT security and privacy laws, regulations and policies in the organization managed. Implements technical, managerial and operational controls commensurate with risks and values to be protected; identifies and protects sensitive information; completes required training; produces quality certification and accreditation packages; ensures timely and effective remediation of IT security weaknesses; responds promptly and effectively to IT security and privacy incidents.

**Employee, Customer and/or Citizen Feedback:** Listens to stakeholders (employees, colleagues, customers, and labor organizations with exclusive employee representation) to identify needs and expectations. Builds strong alliances, involves stakeholders in making decisions, and gains cooperation to achieve mutually satisfying solutions. Understands and uses organizational realities, networks, and accepted practices to achieve desired business results. Uses collaborative techniques and tools, such as adaptive management or structured decision making, to foster partnering and collaboration. Where appropriate, communicates to employees the importance of results and customer focus as a critical component of the organization's mission. Builds trust and cooperative working relationships with stakeholders both within and outside of the organization.

**Mandatory Departmentwide Element (Cont'd)**

**Optional Organizational Performance Standards (Fully Successful)** - *use this space to clarify or tailor standards to specific bureau needs.*

**Position-Specific Elements**

In the space below, the executive and his or her immediate supervisor must describe *at least two, but no more than six* critical actions, objectives, and/or results that the incumbent will be expected to accomplish during the performance rating period. These elements must be derived from and directly contribute to the program priorities and objectives established by the organization's Strategic Plan, Government Performance and Results Act (GPRA), Program Assessment and Reporting Tool (PART), President's Management Agenda, or other strategic planning document. These elements may be modified during the evaluation period if circumstances warrant. Changes must be made at least 90 days before the end of the evaluation period to prevent having to extend the evaluation period.

**Element 2: (Mandatory)**

**Link to Strategic Plan/Organizational Goals:**

**Performance Commitments (written at the Fully Successful level)**

**Element 3: (Mandatory)**

**Link to Strategic Plan/Organizational Goals:**

**Performance Commitments (written at the Fully Successful level)**

**Element 4:**

**Link to Strategic Plan/Organizational Goals:**

**Performance Commitments (written at the Fully Successful level)**

<b>Element 5:</b>	<b>Link to Strategic Plan/Organizational Goals:</b>
<b>Performance Commitments (written at the Fully Successful level)</b>	
<b>Element 6:</b>	<b>Link to Strategic Plan/Organizational Goals:</b>
<b>Performance Commitments (written at the Fully Successful level)</b>	
<b>Element 7:</b>	<b>Link to Strategic Plan/Organizational Goals:</b>
<b>Performance Commitments (written at the Fully Successful level)</b>	

**Part VI: Accomplishments and Element Rating Justifications**

For each element, the executive provides key accomplishments; the supervisor selects the element rating, and provides a justification for that rating.

**Element 1: Mandatory Departmentwide Element**

**Executive's Summary of Accomplishments:**

**Element 1 Rating:**  Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

**Supervisor's Justification for Rating:**

**Element 2: (Mandatory)**

**Executive's Summary of Accomplishments:**

**Element 2 Rating:**  Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

**Supervisor's Justification for Rating:**

**Element 3: (Mandatory)**

**Executive's Summary of Accomplishments:**

**Element 3 Rating:**  Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

**Supervisor's Justification for Rating:**

**Element 4:**

**Executive's Summary of Accomplishments:**

**Element 4 Rating:**  Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

**Supervisor's Justification for Rating:**

**Element 5:**

**Executive's Summary of Accomplishments:**

**Element 5 Rating:**  Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

**Supervisor's Justification for Rating:**

**Element 6:**

**Executive's Summary of Accomplishments:**

**Element 6 Rating:**  Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

**Supervisor's Justification for Rating:**



**Element 7:**

**Executive's Summary of Accomplishments:**

**Element 7 Rating:**  Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

**Supervisor's Justification for Rating:**

**Privacy Act Notice**

This statement is provided pursuant to the Privacy Act of 1974, as amended, for individuals who have been requested to submit a statement of accomplishment/self-assessment. The authority to solicit this information is derived from 5 USC 4301, et seq., and 5 CFR Part 430, Performance Management. In order to allow you the opportunity to provide input into the evaluation process, management may request this information from you. Your supervisory officials will consider the information you furnish in preparing an evaluation of your performance or conducting periodic progress reviews.

The information contained in your performance evaluation may be disclosed to Department employees who have a need for the record in their official duties. Disclosures may also be made under routine uses published in the Federal Register for Privacy Act system of records, OPM/GOVT-2, Employee Performance File System of Records. Disclosures may be made to the Office of Personnel Management, the Equal Employment Opportunity Commission, the Federal Labor Relations Authority and others, when relevant and necessary to the performance of their authorized duties. Failure to furnish any or all of this information may result in your supervisors preparing your evaluation, or conducting a progress review, without considering information you may feel is relevant or significant.