

DEPARTMENT OF THE INTERIOR
DEPARTMENTAL MANUAL

Personnel

370 DM Addition to FPM

Chapter 920 Senior Executive Service and Related Systems

370 DM 920,1.1

Subchapter I. The Senior Executive Service and Related Systems.

1.1 Policy. It is the Department's policy to develop and implement a continuing program for staffing its executive positions with the most capable people available. More specifically, its goals are to:

A. Plan to meet future executive requirements in the various programs carried on throughout the Department;

B. Make maximum utilization of executive positions;

C. Refer, as appropriate, to selecting officials the best qualified executives from within the Department, from other Federal agencies, and from outside the Federal Government;

D. Ensure recruitment of qualified individuals from appropriate sources with selection and advancement determined solely on the basis of relative ability, knowledge and skills, after fair and open competition which assures that all receive equal opportunity; and

E. Encourage the career development of the Department's executives.

1.2 The Senior Executive Service (SES). The Senior Executive Service was established as part of the Civil Service Reform Act of 1978 (CSRA - Public Law 95-454, Title IV, 5 U.S.C. 3131-6). SES positions include positions which are classifiable above the GM-15 level, which are not required to be filled by an appointment by the President by and with the advice and consent of the Senate, and in which an employee:

A. Directs the work of an organizational unit;

B. Is held accountable for the success of one or more specific programs or projects;

C. Monitors progress toward organizational goals and periodically evaluates and makes appropriate adjustments to such goals;

D. Supervises the work of employees other than personal assistants; or

E. Otherwise exercises important policy-making, policy-determining or other executive functions.

1.3 Related Executive Positions. The following categories of positions are also authorized to agencies by the Office of Personnel Management (OPM). Specific staffing requirements are covered by 370 DM 305. The position control and planning requirements set forth in this document apply to positions covered by 370 DM 305.

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A. Non-SES, GS-16 and above positions. These positions include those specifically excluded from SES such as Administrative Law Judges and those GS-16 and above positions which do not meet the criteria for SES and which exceed the GS-15 criteria on the basis of the scope and significance of the duties assigned.

B. Non-SES, Non-GS Positions. The Director of the Office of Personnel Management may establish, and from time to time revise, the maximum number of scientific or professional positions (not to exceed 517 governmentwide) for carrying out research and development functions which require the services of specially qualified personnel which may be established outside of the General Schedule. Within the delegated authorization and numerical limitation from the Director, Office of Personnel Management, the Department may establish positions in this category if they exceed the GS-15 level and do not meet the criteria for placement in SES. These positions will be reserved for individual worker research scientists who have achieved recognized international stature in their particular area of specialization and whose research efforts contribute to the overall success and mission of the Department.

1.4 Executive Resources Board. The Department's Executive Resources Board (ERB) was established by the Under Secretary on July 6, 1973. Section 3393 of the CSRA requires each agency to establish one or more Executive Resources Boards.

A. Composition of the Board.

(1) The Executive Resources Board is composed of the Under Secretary as Chairperson; the Director of Personnel may serve as Executive Secretary to the Board. Normally, the Executive Assistant to the Secretary and the Assistant Secretary-Policy, Budget and Administration serve as members of the Board. Specific membership of the Board is determined by the Secretary.

(2) The Office of Personnel will provide the necessary administrative and staff support for the Board.

B. Responsibilities. The Executive Resources Board (ERB) is responsible for developing and administering for the Secretary a systematic program of managing the Department's executive resources and ensuring the selection of the most capable individuals required to carry out the Department's programs. The responsibilities of the Board include:

(1) Reviewing present and future executive resource requirements throughout the Department based upon Departmental program plans;

(2) Planning for the career development of present incumbents and candidates for executive level positions; this includes approving nominations for the SES Candidate Development Program, the Federal Executive Institute, the President's Executive Exchange Program and similar OPM-approved executive development programs;

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(3) Determining the distribution of SES authorizations based upon program and management priorities;

(4) Reviewing for the Secretary nominations for the awarding of Presidential ranks, approving SES pay rate adjustments and the awarding of bonuses and superior accomplishment awards;

(5) Reviewing the selections of career SES appointments and reassignments which includes approval of the qualification standards used, the adequacy of the recruitment effort, evaluation of the candidates and the qualifications of the individual selected; and

(6) Overseeing the process for designating officials to serve on executive rating panels and performance review boards and assuring the panels' and boards' effective operations.

(7) Approving appointments, reassignments, details and recognition of employees incumbering SES (key) positions and the reemployment of annuitants to SES positions (370 DM 311, 1.5E identifies SES and related positions as key positions and 370 DM 920, 4.4D and 370 DM 311, 1.11 restrict the release of information on individuals appointed, reassigned, removed or detailed to key positions).

1.5 Sources of Additional Information.

- A. 370 DM 230 for information on delegation of authority.
- B. 370 DM 300 for information on general employment.
- C. 370 DM 305 for information on the Executive Assignment System.
- D. 370 DM 311 for information concerning the power of appointment and removal.
- E. 370 DM 312 for information relative to position management.
- F. 370 DM 412 for information on supervisory and management development.
- G. 370 DM 410 for information on basic training regulations.
- H. 370 DM 511 for information on position classification under the Classification Act System.
- I. 441 DM 1-7 for information on clearance and suitability investigative requirements.



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370 DM 920,2.1

Subchapter 2. Executive Resource Planning

2.1 Objectives. The Department's Executive Resource Planning Program is designed to provide a systematic approach to anticipating executive needs and to relate executive personnel requirements to program priorities.

2.2 Responsibilities.

A. Assistant Secretaries, the Solicitor and equivalent officials are responsible for managing the SES needs for all bureaus and offices under their jurisdiction. All SES requests (to establish new positions, to recruit and to conduct searches) will be made with the approval of the appropriate Assistant Secretary, Inspector General or the Solicitor. These officials should notify bureaus and offices which SES requests are being forwarded to the Executive Resources Board and which the Assistant Secretary or equivalent official has disapproved.

B. Bureaus and offices are responsible for submitting to their respective Assistant Secretaries annual plans covering their SES needs by August 15 of each year. If any requests are the result of organizational changes (whether anticipated in the plan or occurring unexpectedly), prompt action should be taken to obtain the necessary Departmental approval of these changes. Under normal circumstances SES requests will not be approved until such organizational changes are approved. Bureaus and offices are also responsible for keeping their respective Assistant Secretaries informed of potential vacancies in SES positions and sources of potential replacements.

2.3 Yearly Executive Resource Plans.

A. Assistant Secretaries, the Solicitor and equivalent officials will prepare an Executive Resource Plan for the coming fiscal year covering all activities under their jurisdiction. This plan is basically a priority ranking of needs for the fiscal year. Plans should include not only requests for new SES authorizations but also projections for filling SES positions which are either vacant or are anticipated to become vacant during the fiscal year. Guidelines for preparing these plans, along with a sample format, are included in Appendix A to this Chapter.

B. Plans should be submitted to the Assistant Secretary - Policy, Budget and Administration, through the Director of Personnel, by September 1 of each year covering the next fiscal year. The Office of Personnel will review each plan in order to (1) assure the adequacy of the plan and (2) interject Departmentwide coordination into the planning process. Plans will then be submitted to the Executive Resources Board for review and approval.

2.4 Biennial SES Allocation Request (An SES Request during each even-numbered calendar year). Section 3133 of the CSRA has two requirements:

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A. Each agency is to examine its needs for Senior Executive Service positions for each of the two fiscal years beginning after such calendar year and to submit to the Office of Personnel Management a written request for a specific number of Senior Executive Service positions for each of such fiscal years. Biennially, each agency request submitted under this section shall be based on the anticipated type and extent of program activities and budget requests of the agency for each of the two fiscal years involved and such other factors as may be prescribed from time to time by OPM; and

B. The Office of Personnel Management will issue specific guidelines for complying with the Biennial request. The guidelines and instructions are forwarded by the Office of Personnel to appropriate offices for their input; and the Office of Personnel recommends to the Executive Resources Board an overall Departmental submission in compliance with the Office of Personnel Management guidance.

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Subchapter 3. Executive Position Control

3.1 General. Control of all Executive Level, Senior Executive Service (SES), supergrade (GS-16, 17, 18) and P.L. 313-Type positions in the Department is maintained at the Secretarial level and is carried out by the Executive Resources Board (ERB) which determines priorities for the utilization of these positions.

3.2 Executive Position Authorization

A. Authorization Process. The ERB will periodically review executive personnel plans (see 370 DM 920,2) and other special requests submitted by Assistant Secretaries and equivalent officials and will approve the specific utilization of all executive positions authorized to the Department by the Office of Personnel Management (OPM). In making its determinations, the ERB will be guided by the program priorities of the Department. Priorities are normally reflected by such indicators as Administration and Congressional interest, Departmental identification of critical issues, increased or decreased funding and staffing and relationship to the Nation's economy and welfare. Higher priority will normally be given to those positions with direct line program responsibility. Lower priority will be accorded to Deputy, Special Assistant and staff types of positions.

B. Request to Continue Utilization of Existing SES and Supergrade Positions. When an established SES or supergrade position becomes vacant, the appropriate Assistant Secretary must request ERB approval of the continued utilization of an executive position authorization. The request for continued utilization should be submitted within fifteen days of the position vacancy. The request should be accompanied by a specific proposal to recruit or fill the position. The request should also contain a brief justification for retention of the position authorization which reflects current staffing, funding and responsibilities for the position as well as changes in program content, direction and emphasis.

C. Requests for New SES and Supergrade Position Authorizations. Requests to the ERB for new position authorizations should normally be made as a part of the annual executive planning process as set forth in 370 DM 920,2. Instances may arise where unanticipated or emergency program needs require additional executive positions above those currently authorized. In such situations, the appropriate Assistant Secretary or equivalent official should submit a recommendation to the ERB. Such recommendations should reflect consideration of the following:

(1) Temporary Authorization (Float). The ERB may authorize the establishment of a new SES position by borrowing the resource authorization from a current SES position which will be vacant or abolished within 120 days. Such "float" positions may remain in existence for an additional 120 days (maximum total of 240 days) after which they must be abolished or established

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on a permanent basis as discussed in 370 DM 920, 3.2C(2) and (3). Requesting officials should request the use of a "float" position only in those instances where they clearly anticipate being able to recommend utilization of an SES position authorization from within their existing resources at the expiration of the "float" authorization.

(2) Reprogramming within Assistant Secretariats. The ERB may authorize the establishment of a new SES position by reprogramming a currently available vacant SES authorization under the control of the requesting official. Requesting officials may request such reprogramming with the understanding that the SES position vacancy to be utilized for the proposed new position must be abolished.

(3) Providing of Additional SES Position Authorizations. The ERB can provide additional SES resources only through the reprogramming of currently available vacant SES authorizations from the program purview of one Assistant Secretary or equivalent official to another. Officials requesting an additional SES resource must demonstrate to the ERB a priority for the position which is higher than that of the Assistant Secretary or equivalent official from which the authorization is to be taken.

D. Over-Allocation System. In order to assure maximum utilization of SES positions, the ERB may authorize establishment of and recruitment for SES positions not to exceed 104 percent of the total positions authorized to the Department by OPM. The ERB will not approve requests which, if approved, would exceed the 104 percent ceiling. The over allocation of four percent includes the "float" positions discussed in 370 DM 920, 3.2C(1). The Assistant Secretary - Policy, Budget and Administration will establish the necessary identification, tracking and reporting system to assure careful control of the over-allocation process. Assistant Secretaries and bureau directors will be advised of the identity and status of the over-allocated and "float" positions for their program areas.

3.3 Reporting Personnel Actions.

A. Bureaus will report all personnel actions taken with respect to Executive Level (PAS), SES, GS-16 and above, and P.L. 313-Type positions using OPM Form 1390. This includes appointment, promotions, ES rate adjustments, reassignments and resignations. The 1390 should be forwarded promptly to ensure its receipt by the Office of Personnel not later than three days after the effective date of the action. If this time schedule cannot be met, other means of informing the Office of Personnel such as a telephone report may be used as an interim response.

B. Appointments, reassignments, details in excess of 30 days, and vacancies will also be reported by using SF-50. This requirement is in addition to, not a substitute for, the copy of the 1390 reporting actions to the Office of Personnel. In this regard, one copy of the SF-50 will be completed and marked specifically for the Office of Personnel.

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3.4 Reporting Position Changes. Bureaus will submit new position descriptions when significant changes occur in the duties and responsibilities for positions in the SES, P.L. 313-Type and supergrade categories.

3.5 Time Limitations on Filling SES, P.L. 313-Type and Supergrade Positions. SES, P.L. 313 and supergrade positions, after consideration of any request for continued utilization as described in 370 DM 920, 3.2B, revert automatically to the ERB upon becoming vacant. The ERB will then allocate the slot to the organization with the highest current priority. Upon notification of allocation of a slot, the receiving bureau or office has 90 days to take appropriate staffing action. After 90 days, if progress has not been made to fill the position, the ERB will review the allocation of the slot and may reassign it according to the priorities existing at that time.



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Subchapter 4. Senior Executive Service Recruitment and Staffing

4.1 Policy.

A. It is the Department's policy that all SES vacancies will be filled as soon as possible by the best qualified individuals available. The search for the best qualified will include consideration of all employees who are eligible and qualified for advancement including OPM-certified graduates of the Department's Senior Executive Service Candidate Development Program (SESCDP). SES incumbents may be considered for reassignment. Qualified individuals outside Government may also be considered.

B. It is the policy of the Department that the selecting official will have an adequate number of highly qualified people from which to make a selection.

C. Vacancy announcements will normally remain open for a period of 30 days. Proposals for a shorter announcement would require approval of the Director of Personnel.

4.2 Sources of Candidates.

A. Within the Civil Service.

(1) Bureaus and Offices. Within the bureau or office having a career SES vacancy, employees currently in SES or those with SES reinstatement rights and candidates certified by the Office of Personnel Management (OPM) may be considered along with other applicants. Applicants from other bureaus or offices will be considered under the same criteria as the bureau's own employees.

(2) SES Candidate Development Program. Individuals who successfully compete and complete an OPM-approved SES candidate development program and whose executive qualifications have been certified for three years by OPM may be appointed to SES positions without further competition, providing the technical qualifications of the position have been met.

B. Advertising.

(1) Government. Bureaus must advertise all career vacancies in SES on a governmentwide and Departmental basis. All vacancies must be advertised in the Office of Personnel Management's SES Vacancy Announcement and the Department's Vacancy Information System List.

(2) Non-Government. In addition to governmentwide and Departmental vacancy notices, the office/bureau level advertising of executive position vacancies is also encouraged. Advertising in professional journals, newsletters and other media may be appropriate for particular vacancies.

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370 DM 920,4.2C

C. Outreach.

(1) Bureaus and offices developing an SES recruitment plan will ensure that a demonstrative effort has been made to attract the best qualified persons from within the Department, from other Federal agencies and from outside the Federal government.

(2) Recruitment should be for qualified individuals from appropriate sources in an endeavor to achieve a representative work force with selection and advancement determined solely on the basis of ability, knowledge and skills after fair and open competition which assures that all receive equal consideration.

D. Executive Search. The Office of Personnel will, as appropriate, assist bureau and office directors in locating and identifying qualified candidates for career executive vacancies.

4.3 Recruitment Procedures.

A. Notification of Vacancy. Notification of all vacancies must be submitted to the Office of Personnel no later than three work days after the vacancies occur (see 370 DM 920, 3.3A and 3.3B). OPM Form 1390 will be used for this purpose. SES vacancies may not be advertised until Departmental approval has been obtained as described in 370 DM 920,4.3B.

B. Executive Recruitment Plans.

(1) Authorization to Recruit. An executive recruitment authorization memorandum will be forwarded for ERB approval to the Assistant Secretary - Policy, Budget and Administration for each executive vacancy by the bureau or office having the vacancy. These memoranda must be endorsed by the appropriate Assistant Secretary. The plan will include those components described on the Departmental Form, Notification of Executive Recruitment (DI-241). This form is available through normal supply channels (see Illustration I to this Chapter).

(2) Notification of Executive Recruitment. The servicing personnel office must notify the Office of Personnel of its intent to initiate a search for any vacant or newly established SES position. Form DI-241, Notification of Executive Recruitment, will serve to notify the Executive Personnel Staff and the Executive Resources Board (ERB) of the bureaus's intent.

(3) Notification of OPM. All career SES vacancies must be advertised in the OPM SES Vacancy Announcement list. It is the responsibility of each servicing personnel office authorized to recruit for an SES position to prepare the summary needed for OPM's SES Vacancy Announcements list.

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4.4 Procedures for Senior Executive Selection.

A. Documentation. The bureau level servicing personnel office will compile the necessary documentation on all of the qualified candidates. The items required for this documentation are:

- (1) SF-171, or a resume; and
- (2) reference checks, vouchers and/or evaluations of the individual's work, where available.

Normally this information should be put in a "Panel Review Book" (a looseleaf notebook or similar book). Sufficient copies of the book should be made to ensure that each member of the Executive Rating Panel has access to the information prior to the meeting of the panel.

B. Executive Rating Panels. An ad hoc rating panel will be nominated by the bureau or office director to review and rank candidates for each career executive vacancy. The panel must consist of a minimum of three persons, preferably in SES or equivalent level, one of which must be employed outside of the bureau or office with the vacancy. Additional persons who are directly involved in the executive search may also participate on the panel as ex officio members. Each rating and ranking panel established will be acting for the Executive Resources Board (ERB) and will be responsible for:

- (1) evaluating all candidates who have been identified as qualified;
- (2) ranking the candidates; if five or fewer candidates are rated as qualified, all will be referred to the selecting official;
- (3) referring the list of the best qualified candidates to the selecting official; and
- (4) preparing or endorsing a one paragraph summary on each of the best qualified candidates.

C. Final Selection. The bureau personnel office will provide the selecting official with the list of best qualified candidates along with the brief written statement described in Appendix B to this Chapter and results of reference checks where conducted. After the selection has been made, the servicing personnel office will process the case in accordance with the instructions in Appendix B to this Chapter. The proposal will include a transmittal memorandum for the ERB addressed to the Assistant Secretary - Policy, Budget and Administration routed through the appropriate Assistant Secretary. The memorandum should contain an approval line with the statement "For the Executive Resources Board."

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D. Announcement of Selection. No official announcements will be made on selections for SES positions until all Departmental approvals have been granted and OPM approval obtained, if required (see 370 DM 311,1.II).

4.5 Mobility of Career SES Members and Graduates of the SES Candidate Development Program (SESCDP).

A. Reassignments.

(I) Current SES Members. In order to meet the needs of the Department and promote the efficiency of the service, current career SES members may be reassigned to other SES positions for which they are qualified. These reassignments may be made within the bureau or office where they are currently employed or from one bureau or office to another. Reassignments may involve geographic moves outside of the SES member's current commuting area. Proposed reassignments require the prior approval of the ERB before a written notice is issued to the SES member. Noncareer executives serve at the pleasure of the appointing authority and may be reassigned at any time with the approval of the Secretary.

(a) Directed Reassignments within the Current Commuting Area. A career SES appointee who is given a directed reassignment within his/her current commuting area must be given 15 days written notice in advance of the proposed effective date of such reassignment. The notice may be waived with the written consent of the SES member.

(b) Failure to Accept a Directed Reassignment Within Current Commuting Area. A career SES member who fails to accept a directed reassignment within the commuting area is subject to separation as provided for by 5 U.S.C. 7543. Separation or resignation under this situation does not confer a right to discontinued service retirement or severance pay.

(c) Directed Reassignments Outside the Current Commuting Area. A Career SES appointee who is given a directed reassignment outside of his/her current commuting area must be given 60 days written notice, including a statement of reasons, in advance of the proposed effective date of such reassignment. The notice may be waived with the written consent of the SES member. Prior to providing the written notice, supervisory officials must consult with the SES member on the reasons for, and the SES members' preferences with respect to, the proposed reassignment. Supervisory officials should take advantage of the consultation process to stipulate the specific reasons for the reassignment and to alert the SES member of the removal provisions for failure to accept the reassignment. In the memorandum requesting ERB approval for the geographic reassignment, there must be an indication that the consultation process has taken place. (See Page 6 of Appendix B to this Chapter.)

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(d) Failure to Accept a Directed Reassignment Outside the Current Commuting Area. A career SES member who fails to accept a directed reassignment outside the commuting area is subject to separation as provided for by 5 U.S.C. 7543. If the individual resigns rather than accept reassignment outside the commuting area, the resignation is considered an involuntary separation 5 U.S.C. 8336. In the event of involuntary separation, the career SES member is normally eligible for one of the following entitlements: 1) Retirement (5 U.S.C. 8336) - Employees who have been involuntarily separated except by removal for cause on charges of misconduct or delinquency are entitled to an immediate annuity after completing 25 years of service or after becoming 50 years of age and completing 20 years of service; 2) Severance Pay (5 U.S.C. 5595) - Noncareer SES members and those serving on SES limited term or limited emergency appointments are not entitled to severance pay. Career SES members who are involuntarily separated are eligible for severance pay under the same conditions as other career employees:

(i) Must have been employed for at least the previous 12 months without a break in service of more than 3 calendar days;

(ii) Must not be eligible for an immediate annuity;

(iii) Must not have declined to accept reassignment to a SES position in the same commuting area;

(iv) The separation must not be for personal cause; and

(v) Must not have been serving under a written mobility agreement at the time of reassignment.

(2) Graduates of the SES Candidate Development Program. With the approval of the Executive Resources Board, certified graduates of the SES Candidate Development Program may be appointed without further competition to SES positions for which they are qualified. These appointments may be to an SES position in or outside of their current bureau or office and may involve a geographic move. Failure to accept an SES appointment will not terminate a certified graduate's eligibility for future SES appointment; however, failure to accept an SES appointment will limit the possibilities for future SES appointment opportunities. OPM certification is valid for a three year period. At present there is no provision for extension of candidate certification. Following the expirations of certification, former candidates are required to compete for SES positions.

B. Details.

(1) Current Career SES Members. Current career members of the SES may, without prior Departmental approval, be detailed to another SES position for a period not to exceed 30 days. Any details of SES members which extend beyond 30 days or which occur more than once during a one year period

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to the same position for a total of more than 30 days must be submitted to the ERB for approval. An exception to this requirement is provided for in those situations where the SES member is officially designated as "acting" for another SES member. In these situations, the Office of Personnel must be notified in writing if the acting capacity extends beyond 30 days. The Office of Personnel will bring this situation to the attention of the ERB, as appropriate. Any details of SES members to organizations outside of the Department require ERB approval regardless of the length of time.

(2) Non-SES Members. Employees who are not members of the SES may, with prior Departmental approval, be detailed to SES positions within the Department. These approved details which may include the assumption of an "acting" designation may extend for a period of 120 days subject to one extension for an additional 120 days. The total cumulative number of days in any calendar year that the same non-SES member can be detailed to the same SES position cannot exceed 240 days. An ERB approved SES Candidate Development Program participant may be detailed to an SES position for developmental experiences for a period not to exceed 120 days without further Departmental approval if the detail is specified in an ERB approved IDP.

C. Placement Follow-up, Probation, and Monitoring of Probationary Period. All initial career appointees to SES must serve a one-year probationary period as a career appointee (5 U.S.C. 3393(d)). It is the responsibility of each bureau and office to provide follow-up on the probationary performance of initial career appointees and to monitor their performance and development progress during the first year. The one-year probationary period is not subject to extension. Monitoring follow-up activities will be provided in accordance with the following intervals:

(1) One month after the executive's initial appointment - the Office of Personnel will release SES orientation materials and notify the appointee's supervisor of probationary appointment responsibilities (see Appendix H).

(2) Six months after appointment - servicing personnel office will recommend supervisory review of performance for the six-month period and will advise the supervisor of the final performance appraisal document ten-month due date.

(3) Nine months following executive appointment the Office of Personnel will:

(a) request bureau/office submission of completed performance appraisal and IDP documents (through the appropriate PRB) no later than ten months from the effective date of the appointment.

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(b) request certification that the executive has completed probation (see certification format in Appendix I to this Chapter). 5 CFR 359.401 sets forth procedures for the removal of career appointees during probation. (Actions taken under 359.401 and 359.402 are not appealable to the Merit Systems Protection Board (MSPB) except for any alleged violation of the restrictions in 359.403.)

4.6 Security Responsibilities. It is the responsibility of each bureau and office that nominates individuals for SES positions (through initial appointment, reassignment, transfer, reinstatement, and participation in the SES Candidate Development Program) to properly identify the sensitivity of positions and to assure that the appropriate investigations have been conducted or are in process prior to the submission of the request for Departmental approval of the individual nominated (441 DM 3.3B, D and E).

4.7 Limited Term and Limited Emergency Appointments. An individual may not be appointed as a limited term appointee or as a limited emergency appointee without the prior approval of the appointment authority by OPM.

A. Definitions.

(1) Limited Term Appointee. An individual appointed under a nonrenewable appointment for a term of three years or less to an SES General position the duties of which will expire at the end of such term.

(2) Limited Emergency Appointee. An individual appointed under a nonrenewable appointment, not to exceed 18 months, to an SES General position established to meet a bona fide, unanticipated, urgent need.

B. Requests for Prior Approval. Requests for the prior approval of OPM for the exercise of a limited term or a limited emergency appointment authority are prepared for the signature of the Director of Personnel and must contain statements as to which type of authority is being requested, name of the selectee and the reasons for requesting such authority as apposed to a regular career or noncareer appointment.

4.8 Conflict of Interest. It is the responsibility of each bureau and office to certify that each nominee for an SES position has no financial or other interests, including any outside work or activities, that will be prohibited by any applicable conflict of interest statute or regulation. Nominees who are found to have interests that are prohibited or that will create a conflict of interest with the duties of the SES position will be required to remedy the situation under the options presented in 43 CFR 20.735-40.

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Part 370: Departmental Human Resources Part 370, Chapter 920-5
Management Program

Chapter 920: Senior Executive Service
Subchapter 5: Performance Appraisal for
 the Senior Executive Service
Originating Office: Office of Personnel
 Office of the Secretary

1. Policy

The Department of the Interior uses the annual SES performance appraisal program as a tool for executing basic management responsibilities. Through this program, supervisors of SES members:

- A. communicate and clarify organizational goals and objectives;
- B. identify individual accountability for accomplishing goals and objectives;
- C. evaluate and improve individual and organizational accomplishments; and
- D. use the results of performance appraisal as a basis for providing performance awards (pay rate adjustments and performance bonuses) and for training, retaining, reassigning, and removing SES members.

2. Coverage

- A. The annual SES performance appraisal review assesses the performance of all eligible Career, Noncareer, Limited Term and Limited Emergency SES appointees to determine their individual and organizational effectiveness during the preceding year.
- B. To be eligible for appraisal, SES members must have served under an officially approved written performance agreement for at least 90 days.

3. Definitions

Appendix A contains definitions for the terms used in this subchapter.

4. Overview of the SES performance appraisal program

- A. Annual performance appraisal ratings are based upon comparison of the executive's achievements against a cooperatively established and officially approved written performance agreement. The performance elements comprising individual performance agreements are cascaded from goals and objectives agreed upon by the Secretary, the Assistant Secretary, and the Heads of Bureaus/Offices.
- B. The Department's SES performance appraisal program provides for:
- (1) an initial performance rating and award recommendation by the rating official (usually the immediate supervisor);
 - (2) an optional review of the initial performance rating and award recommendation by the next higher-level official in the organization, if such review is requested by the SES member being appraised;
 - (3) an opportunity for the SES member being appraised to respond in writing to the initial performance rating and award recommendations;
 - (4) a Performance Review Board (PRB) review of the rating and award recommendations and supporting documentation, as well as of any written response by the executive being appraised;
 - (5) delegation by the Secretary of the decision regarding the final performance rating of record to the appropriate Assistant Secretary or equivalent official; and
 - (6) final decision regarding performance awards (bonuses and pay rate increases) made by the Executive Resources Board.

5. Performance appraisal year

- A. The performance year for all members of the SES begins July 1 and concludes June 30 of the following year.
- B. The minimum period for performance appraisal is 90 days.
 - (1) At the end of the performance year, executives who have not served under an officially approved performance agreement for at least 90 days will have their appraisal period extended for the time necessary to meet the 90-day requirement. In this situation, a rating of record will be prepared at the end of the extended performance period.
- C. Heads of Bureaus/Offices may terminate the appraisal period for any executive within their organization at any time after 90 days and direct that his/her performance be rated.
- D. An appraisal and rating may not be made for Career SES members within 120 days after the beginning of a new Presidential administration.

6. Performance agreements

- A. An individual performance agreement is established annually for each member of the SES.
 - (1) Performance agreements are developed cooperatively between the rating official and the executive being appraised. However, final authority for establishing the performance agreement rests with the supervisory official.
 - (2) Performance agreements are developed and communicated to executives at or before the beginning of each appraisal period. Written agreements are provided to executives within 30 days of the beginning of the appraisal period.
 - (a) Until new performance agreements are established for the performance year, executives remain under the performance agreement established for the previous performance year, unless they have changed positions.

B. The performance elements comprising individual performance agreements are cascaded from the goals, objectives, and commitments agreed upon by the Secretary, the Assistant Secretary, and the Bureau Directors. Performance elements also reflect the requirements of the executive's position. Accomplishment of organizational objectives is included as appropriate in individual performance agreements by the incorporation of objectives, goals, program plans, work plans, or any similar means which will account for program results.

(1) All performance elements are considered to be critical. That is, each performance element included in an individual performance agreement is considered to be of sufficient importance that unsatisfactory performance in the element would result in unsatisfactory performance in the position.

(2) Heads of Bureaus/Offices, with the concurrence of the appropriate Assistant Secretary or equivalent official, will define the Fully Successful performance standard for performance elements mandated Departmentwide by the Secretary.

(3) Assistant Secretaries and Heads of Bureaus/Offices have authority to mandate performance elements for SES members within their organizations.

(4) There is no maximum number of performance elements allowed in the individual performance agreements.

C. Performance standards must be written at the Fully Successful level for each performance element.

D. Performance agreements are documented on the Department's SES Performance Agreement form (DI-2011) (Appendix B). The rating official and the executive being appraised sign and date Part I of the form to indicate establishment of the performance agreement.

7. Progress reviews

A. Rating officials must hold at least one progress review with subordinate executives during the performance year.

B. The purposes of the progress review are to:

(1) inform executives of their level of performance by comparing their accomplishments to the established performance standards;

- (2) identify any performance weaknesses and provide the executive the opportunity to improve; and
- (3) ascertain whether the performance elements contained in the performance agreements are current and applicable, or whether they should be revised to reflect changes in mission, goals, objectives, organization, budget, administration, or statutory requirements.

C. The rating official and executive initial and date Part II of the SES Performance Agreement form (DI-2011) to document the completion of progress reviews.

8. Performance Review Board

A. There is one Departmental Performance Review Board, constituted annually. The purpose of the PRB is to:

- (1) consider the initial rating and award recommendations;
- (2) review all documentation, including any written response by the executive being rated and any comments provided by a second-level reviewer;
- (3) conduct whatever additional review it deems necessary; and
- (4) make written recommendations to the appropriate deciding officials regarding final performance ratings of record and the awarding of performance bonuses and performance-based pay rate adjustments.

B. Assistant Secretaries / equivalent officials nominate SES members in their organizations each year to serve on the PRB. The Executive Resources Board makes final selection of members. Appointment to the PRB is for a one-year term, which is renewable.

C. Before the PRB can convene or conduct any business, the names of the PRB members must be published in the Federal Register.

D. The PRB cannot conduct any business with less than three members present.

- E. When the Board is reviewing the performance rating / performance award recommendations and supporting documentation for a Career appointee, more than one-half of the sitting members of the PRB must consist of Career SES appointees.
- F. PRB members may not take part in deliberations regarding their own appraisals, or regarding the appraisals of immediate subordinates or superiors.
- G. After the PRB reviews the appraisal and award recommendations and any documentation, the Chair of the PRB records the Board's rating and award recommendations and signs Part IV of the SES Performance Agreement form (DI-2011).
- H. The Office of Personnel will provide PRB members training and written guidance to ensure objectivity and consistency of review and recommendations.

9. Annual performance ratings of record

- A. The rating official for the executive's position of record at the end of the appraisal year (June 30) is responsible for initiating the process to determine the executive's annual performance rating of record and any performance award.
 - (1) The rating official is usually the executive's immediate supervisor. However, the Head of the Bureau/Office may designate another official within the organization who ranks above the executive being appraised to serve as the rating official.
 - (2) There is no minimum amount of time required for a rating official to have been designated prior to his/her initiating the performance rating process. Rating officials appointed near the end of the performance year will rely upon interim summary ratings and other documentation of performance to determine their recommendations for ratings of record.
- B. The SES performance appraisal system provides for three rating levels for each performance element. The three levels are:
 - PASS (Fully Successful)
Performance of the element fully met expectations.

- PROVISIONAL (Minimally Successful)
Performance of the element marginally met expectations.
 - FAIL (Unsuccessful)
Performance of the element failed to meet expectations.
- C. At the end of the rating year, and following discussion with the executive and review of any supportive documentation, the rating official assigns a rating to each of the performance elements included in the executive's performance plan, unless the executive had insufficient opportunity to demonstrate performance in the element during the performance year.
- (1) The rating official determines the rating for each performance element by comparing the executive's actual performance during the performance year to the established Fully Successful performance standard.
 - (2) No documentation of performance of the element is required if the rating is PASS.
 - (3) Adequate documentation of performance of the element is required if the rating is PROVISIONAL or FAIL.
- D. Using the guidance contained in Appendix C of this issuance, the rating official assigns a recommended summary rating of the executive's overall performance, based upon the ratings assigned to the individual elements.
- (1) The rating official must follow the guidance contained in Appendix D of this issuance if he/she is recommending a summary rating of PROVISIONAL or FAIL.
- E. The rating official completes, signs, and dates Part III of the SES Performance Agreement form (DI-2011) to document his/her determination of individual performance element ratings, and recommendation for the summary rating and any performance award.
- F. The rating official discusses the initial summary rating and award recommendations with the executive being appraised. The executive signs and dates Part III of the SES Performance Agreement form (DI-2011) to indicate that the rating official has discussed the appraisal with him/her.

- G. The executive has the right to respond in writing to the initial rating and award recommendations.
- H. The executive has the right to request a second-level review of the initial performance appraisal and award recommendations before they are reviewed by the PRB. Copies of the reviewer's comments and recommendations must be provided to the executive being appraised, the rating official, and the PRB.
- I. The Department's Performance Review Board must review:
 - (1) the initial recommendations of the rating official for summary ratings and performance awards;
 - (2) any supporting documentation;
 - (3) any written response by the executive being appraised; and
 - (4) any second-level reviewer's comments and recommendations.
- J. After considering all items included under 9.I. and conducting whatever additional review it deems necessary, the PRB makes written recommendations to the deciding officials regarding a final summary rating of record and any performance award.
- K. Authority to determine the final written summary rating of record is delegated by the Secretary to the Assistant Secretaries or equivalent officials.
 - (1) The deciding official documents the final summary rating of record by completing, signing, and dating Part V of the SES Performance Agreement form (DI-2011).
 - (2) If the deciding official disagrees with the PRB's recommendation, he/she will document the rationale for the final rating decision in an attachment to the SES Performance Agreement.

10. Interim summary ratings

- A. Upon reassignment or transfer to another position during the performance year, executives are entitled to an interim summary rating if they have served the minimum appraisal period of 90 days under an officially established performance agreement.

- (1) The rating official for the position from which the executive is being reassigned/transferred provides the interim summary rating by following the procedures in section 9., A.-F. of this issuance.
 - (2) At the end of the performance year, the rating official for the executive's new position will take the interim summary rating into consideration when determining the recommendation for the rating of record.
- B. When an executive is detailed or temporarily reassigned within the Department for 120 days or more, the supervisor of the detail/temporary reassignment will provide a written performance agreement covering its duties within 30 days of the action. At the end of the detail/temporary reassignment, the supervisor will provide an interim summary rating which the rating official will consider in determining his/her recommendation for a rating of record and any performance award.
- C. When executives are detailed outside of the Department, the rating official for the executive's position of record must make a reasonable effort to obtain appraisal information from the outside agency and consider that information in determining the initial performance rating and award recommendations.
- (1) If the executive detailed outside the Department has already served the minimum 90 days under an officially approved performance agreement, then the rating official must provide a recommended rating of record.
 - (2) If the executive detailed outside the Department did not complete the minimum 90 days under the performance agreement for his/her position of record, but does serve the minimum appraisal period in the borrowing agency, then the rating official must make a reasonable effort to provide a recommended rating of record, using appraisal information obtained from the borrowing agency.
- D. In the event supervisors of SES members leave their positions during the rating year, they should provide an interim summary rating to each subordinate executive who has served the minimum 90 days under a written performance agreement.

11. Second-level review

- A. A second-level review of the rating official's initial performance rating and performance award recommendations is optional, at the request of the executive being appraised.
- B. The second-level review of the initial rating and award recommendations is conducted by the next higher-level official above the rating official in the organization.
- C. The reviewing official will accomplish the second-level review by reviewing the rating official's initial recommendations for the performance rating and any award, all written documentation supporting the rating official's recommendations, and any written response to the initial recommendations by the executive being appraised. At his or her option, the rating official also may meet with either or both the rating official and the executive being appraised to discuss the appraisal.
- D. If the reviewing official disagrees with the rating official's initial rating or award recommendations, the reviewer attaches to the appraisal a statement making his/her own recommendations.
- E. The reviewing official signs and dates Part III of the SES Performance Agreement form (DI-2011) to certify review of the initial performance rating and award recommendations.

12. Performance awards

- A. Under the law, the Department has the option, but is not obligated, to award either performance bonuses or pay rate increases to recognize performance of SES members.
- B. To recommend an executive for a performance award (bonus or pay rate increase), the rating official completes an SES Performance Award Recommendation form (Form DI-2012) (Appendix E) and attaches it to the original of the executive's completed 1995 SES Performance Agreement document (DI-2011).
 - (1) The documentation on the SES Performance Award Recommendation form should highlight the executive's outstanding accomplishments in the performance elements mandated by the Department as well as program-specific performance elements.

- (2) The documentation for the award recommendations should provide a brief general discussion of the executive's achievements, rather than a lengthy justification addressing each performance element.
- C. The rating official also documents recommendations for a performance award by completing the "Recommended Award" section of Part III of the SES Performance Agreement form (DI-2011), and signing and dating the form.
- D. Initial recommendations for SES performance awards are reviewed by the Department's PRB. The PRB makes its own recommendations regarding performance awards to the cognizant Assistant Secretaries / equivalent officials, who in turn make recommendations for performance awards to the ERB for final determination. The Chair of the ERB documents the Board's final decisions regarding performance awards by recording the decision, signing, and dating in Part VI of the SES Performance Agreement form (DI-2011).
- E. SES Performance Bonuses
- (1) The law allows the amount of an SES performance bonus to vary between a minimum of 5% and a maximum of 20% of the executive's basic pay. Basic pay does not include locality rate adjustments.
 - (2) The ERB will give unsuccessful Presidential Rank Award nominees priority consideration for performance bonuses.
 - (3) Each Assistant Secretary's bonus pool equals 3 percent of the aggregate basic pay of Career SES members within his/her organization as of September 30 (the last day of the fiscal year). Basic pay does not include locality rate adjustments.
 - (4) Only Career executives receiving a final rating of PASS are eligible to receive a performance bonus.
 - (5) The ERB will approve bonuses only for those Career executives recommended by their Assistant Secretaries / equivalent officials. The ERB reserves the right to raise or lower bonus amounts, or to disapprove the bonus, based upon its determination of the executive's degree of accomplishment of the performance elements.
 - (6) Usually the ERB will not approve bonuses for executives who have not yet completed their one-year probationary period.

- (7) Special Act or Special Service Awards are not to be used as a substitute for SES performance bonuses. Special Act and Special Service Awards are to recognize non-recurring contributions either within or outside of job responsibilities, a scientific achievement, or an act of heroism.

F. SES Pay Rate Adjustments

- (1) Career, Noncareer, and Limited appointees to the SES are eligible for pay rate adjustments.
- (2) Pay adjustments may be made only once in a 12-month period. Setting pay upon initial appointment to the SES is considered a pay adjustment.
- (3) With the approval of the ERB, upward pay rate adjustments of one or more levels may be made for SES members with a final performance rating of PASS.
- (4) With the approval of the ERB, a downward pay rate adjustment of one level may be made for executives receiving a final performance rating of PROVISIONAL or FAIL.

13. Distribution of ratings

The Department's SES performance appraisal policy prohibits any prescribed distribution of rating levels for executives.

14. Appeals

- A. An executive may not appeal either the final summary rating of record or the lack (or amount) of a performance award.
- B. Executives have the right to respond in writing to the initial performance appraisal and award recommendations made by the rating official. This response becomes a part of the appraisal document and is reviewed by the optional reviewing official, the PRB, the Assistant Secretary / equivalent official, and the ERB, as appropriate.
- C. A Career SES appointee may file a complaint with the Office of Special Counsel regarding any aspect of the rating process which he/she believes to involve a prohibited personnel practice.

D. A Career SES appointee who is removed from the SES as a result of performance ratings may request an informal hearing before the Merit Systems Protection Board on the removal.

15. Program and records management

A. The Office of Personnel (PPM):

- (1) annually, near the end of the performance year, issues guidance regarding appraisal procedures and projected bonus pools to the Assistant Secretaries and equivalent officials.
- (2) provides staff support to the PRB and the ERB for the SES performance appraisal process. PPM collects all appraisal and award recommendation documents, analyzes the documents to ensure they are complete and adequately documented, organizes the documents for PRB and ERB review, records PRB recommendations and ERB decisions, and forwards the documents to the appropriate servicing personnel offices for processing and distribution to the executives.
- (3) at the conclusion of the appraisal process, reports the ratings of record and performance awards to the Office of Personnel Management.

B. Supervisors of executives and servicing personnel officers are responsible for ensuring that executives are given copies of the following appraisal documents at the time they are prepared:

- (1) the initial performance rating and award recommendations of the rating official;
- (2) any comments and recommended changes to the initial recommendations made by the optional second-level reviewer, the PRB, and/or the Assistant Secretary / equivalent official;
- (3) final determination of the summary performance rating of record; and
- (4) final determination of performance award, if any.

C. Servicing personnel officers will maintain all records related to an executive's annual performance appraisal for at least five years from the date the rating of record is issued.

16. Training and program evaluation

- A. The Department, through the Office of Personnel, will develop and provide appropriate training and written guidance to ensure that all employees involved in managing the SES performance appraisal program, the executives subject to the system, and their supervisors have the necessary information to carry out the annual appraisal process in an effective, efficient manner which complies with applicable law, regulation, and Departmental policy.
- B. The Department, through the Office of Personnel and the Executive Resources Board, will periodically evaluate the SES performance appraisal program to determine its effectiveness. Improvements will be made to the system as necessary.

17. Legal authorities

- A. Statutory authority requiring the annual appraisal of the performance of SES members is found in 5 U.S.C. 4311-4315.
- B. Regulations governing the policies and procedures for appraising the performance of SES members are found in 5 CFR 430.301-310.

DEFINITIONS

Appointing authority: The Secretary or his or her designee.

Appraisal: The act or process of reviewing and evaluating the performance of an executive against described performance standards.

Appraisal period: The period of time established for which the executive's performance will be reviewed. The Department's appraisal period for SES members is from July 1 through June 30 of the following year.

Appraisal system: A performance appraisal system established under subchapter II or chapter 43 of title 5, U.S.C. and under 5 CFR 430 subpart C which provides for identification of critical and noncritical elements, establishment of performance standards, communication of elements and standards to senior executives, establishment of methods and procedures to appraise performance against established standards, and appropriate use of appraisal information in making personnel decisions.

Critical element: A component of a position consisting of one or more duties and responsibilities which contributes toward accomplishing organizational goals and objectives and which is of such importance that unsatisfactory performance on the element would result in unsatisfactory performance in the position.

Final rating: The rating of record assigned by the Assistant Secretary or equivalent official after considering the recommendations of the rating official, the (optional) reviewing official, and the Performance Review Board.

Initial rating: The summary rating made by the senior executive's rating official (usually the immediate supervisor, unless otherwise appointed by the head of the bureau or office) and provided to the Performance Review Board.

Non-critical element: A component of an executive's position which does not meet the definition of a critical element, but is of sufficient importance to warrant written appraisal. Because non-critical elements are optional under law and regulation, the Department does not include them in its SES performance appraisal system.

Performance: The senior executive's accomplishment of assigned work as specified in the critical elements of the executive's position.

Performance agreement: The aggregation of all of the senior executive's written critical elements and performance standards. Also referred to as a performance plan.

Performance management plan: The description of the Department's methods which integrate performance, pay, and awards systems with its basic management functions for the purpose of improving individual and organizational effectiveness in the accomplishment of the Department's mission and goals. The plan, which includes the SES performance appraisal plan, must be submitted to OPM for review and approval as required by 5 CFR 430.10.

Performance requirement: See performance standard.

Performance standard: A statement of the expectations or requirements established by management for a critical element at a particular rating level. A performance standard may include, but is not limited to, factors such as quality, quantity, cost efficiency, timeliness, and manner of performance. The Department's SES performance system requires performance standards for all critical elements to be defined at the "Fully Successful" level.

Progress review: A review of the executive's progress toward achieving the performance standards and is not in itself a rating. The Department's SES performance system requires supervisors to hold at least one progress review with subordinate executives during the performance year.

Rating of record: See final rating.

Summary rating: The written record of the appraisal of each critical element and the assignment of a summary rating level as specified in 5 CFR 430.304(f) and (g).

**U.S. DEPARTMENT OF THE INTERIOR
SENIOR EXECUTIVE SERVICE PERFORMANCE AGREEMENT**

Employee's Name: _____ Rating Period: _____
Position: _____ Bureau/Office: _____
Duty Location: _____ ES Level: _____

PART I. PERFORMANCE AGREEMENT: *If the Performance Agreement contains more than five elements, continue this Part on an attachment.*

Performance Element 1:
Fully Successful Standard:

Performance Element 2:
Fully Successful Standard:

Performance Element 3:
Fully Successful Standard:

Performance Element 4:
Fully Successful Standard:

Performance Element 5:
Fully Successful Standard:

Certification: *Employee's signature certifies review and discussion of performance agreement with Rating Official. It does not mean that the employee concurs with the Performance Elements or Standards.*

Employee's Signature Date Rating Official's Signature Date

PART II. PROGRESS REVIEW COMMENTS: *Space is provided to summarize comments for two progress reviews. Date of review and initials of employee and rating official (R.O.) must also be provided for each review. If more than two reviews are conducted, provide additional comments as an attachment.*

Date: _____
Emp. Initials: _____
R.O. Initials: _____

Date: _____
Emp. Initials: _____
R.O. Initials: _____

PART III. RATING OFFICIAL'S RECOMMENDATION: *A narrative is required only for ratings of "Provisional" or "Fail". On an attachment, briefly compare the employee's achievements against performance standards.*

Number	Performance Element Title	Write: Pass, Provisional, or Fail for each Element

TYPE OF RATING (Circle one): 1. Rating of Record 2. Interim Rating

RECOMMENDED SUMMARY RATING: (Write: Pass, Provisional or Fail on this line) _____

RECOMMENDED AWARD: Bonus Amount: \$ _____ Pay Rate Increase: from ES- _____ to E- _____

_____	_____
Rating Official's Signature	Date
_____	_____
Reviewing Official's Signature (Optional)	Date
_____	_____
Employee's Signature	Date

PART IV. PERFORMANCE REVIEW BOARD ACTION:

RECOMMENDED SUMMARY RATING: (Write: Pass, Provisional or Fail on this line) _____

RECOMMENDED AWARD: Bonus Amount: \$ _____ Pay Rate Increase: from ES- _____ to ES - _____

_____	_____
Chair, Performance Review Board	Date

PART V. ACTION OF ASSISTANT SECRETARY OR EQUIVALENT OFFICIAL:

FINAL SUMMARY RATING: (Write: Pass, Provisional or Fail on this line) _____

RECOMMENDED AWARD: Bonus Amount: \$ _____ Pay Rate Increase: from ES- _____ to ES- _____

_____	_____
Assistant Secretary/Equivalent Official	Date

PART VI. EXECUTIVE RESOURCES BOARD DECISION:

FINAL AWARD DECISION:

Bonus Amount: \$ _____ Pay Rate Increase: from ES- _____ to ES- _____

_____	_____
Chair, Executive Resources Board	Date

SES PERFORMANCE APPRAISAL PROGRAM

INSTRUCTIONS
for
DETERMINING RATINGS FOR INDIVIDUAL PERFORMANCE ELEMENTS
and for
CONVERTING ELEMENT RATINGS INTO A SUMMARY RATING LEVEL

To appraise performance against the established performance agreement, the rating official must form a judgment as to the quality, quantity, timeliness, cost efficiency, and effectiveness with which the tasks within each performance element were performed.

The rating official decides whether each task was successfully completed and, if so, how well the job was done. In making this judgment, the rating official assigns a level to the executive's performance against each performance element included in the performance agreement. After assigning a rating level to each element, the rating official then derives a summary rating from the individual element ratings.

The individual performance elements comprising the SES Performance Agreements are drawn from the goals, objectives, and commitments agreed upon by the Secretary, the Assistant Secretaries, and the Heads of Bureaus/Offices. Under the Department's SES performance appraisal program all performance elements are considered to be critical. That is, each performance element included in the performance plan should be of such importance that unsatisfactory performance of the element would result in unsatisfactory performance in the position. Therefore, all performance elements in the SES Performance Agreement are given equal weight in deriving a summary rating level.

Follow these steps to derive the summary rating level:

1. Assigning ratings to individual performance elements:

In Part III of the SES Performance Agreement (DI-2011), the rating official assigns a rating of PASS, PROVISIONAL, or FAIL for each of the performance elements.

If the executive being appraised has not had sufficient opportunity to perform against a specific performance element, then the rating official does not rate the executive on that element. Elements not rated due to lack of opportunity to perform are not considered in determining a summary rating level.

No documentation is required for performance elements to which the rating official assigns a PASS rating. A written statement comparing the SES member's achievements against the established Fully Successful performance standard is required only for elements to which the rating official assigns a PROVISIONAL or FAIL rating.

2. Deriving a Summary Rating Level:

- A. If performance is rated PASS for all individual performance elements, assign a summary rating of PASS.
- B. If performance is rated PROVISIONAL for one or more of the individual performance elements and PASS for all remaining elements, assign the summary rating of PROVISIONAL.
- C. If performance is rated FAIL for one or more of the individual performance elements and PASS or PROVISIONAL for all remaining elements, assign the summary rating of FAIL.

Assigning a summary rating of PROVISIONAL or FAIL

1. If a PROVISIONAL rating is contemplated, the rating official must develop a proposed performance improvement plan. This plan could include any of the following options:
 - a. Providing assistance, such as:
 - (1) formal training;
 - (2) on-the-job training;
 - (3) counseling;
 - (4) closer supervision; and/or
 - (5) detail assignment.
 - b. Restructuring the job.
 - c. Reassignment within the SES.
 - d. Providing a second official performance review and appraisal 90 days following establishment of the performance improvement plan.

The rating official submits the proposed performance improvement plan with the SES Performance Agreement for concurrence by the PRB and appropriate Assistant Secretary / equivalent official, and for approval by the ERB.

2. If the executive receives two PROVISIONAL ratings of record in a consecutive three-year period, he/she must be removed from the SES (not from Federal service).
3. If the rating official is contemplating a rating of FAIL, he/she must develop a proposed performance improvement plan. This plan could include:
 - a. Reassignment within the SES; or
 - b. Removal from the SES (not from Federal service).

The rating official submits the proposed performance improvement plan with the SES Performance Agreement for concurrence by the PRB and appropriate Assistant Secretary, and for approval by the ERB.

4. A second FAIL summary rating level in a consecutive 5-year period requires that the executive be removed from the SES (not from Federal service).
5. Rating officials should consult with their servicing personnel officers to ensure all regulatory requirements are addressed prior to making an initial rating recommendation of PROVISIONAL or FAIL regarding a subordinate SES member's performance.



SES PERFORMANCE AWARD RECOMMENDATION

SES Member: _____ Bureau: _____

Type of Appointment: ___ Career ___ Noncareer ___ Limited

Performance Award Recommendation:

___ Bonus Amount: \$ _____

___ Pay Rate Increase: ES- _____ to ES- _____

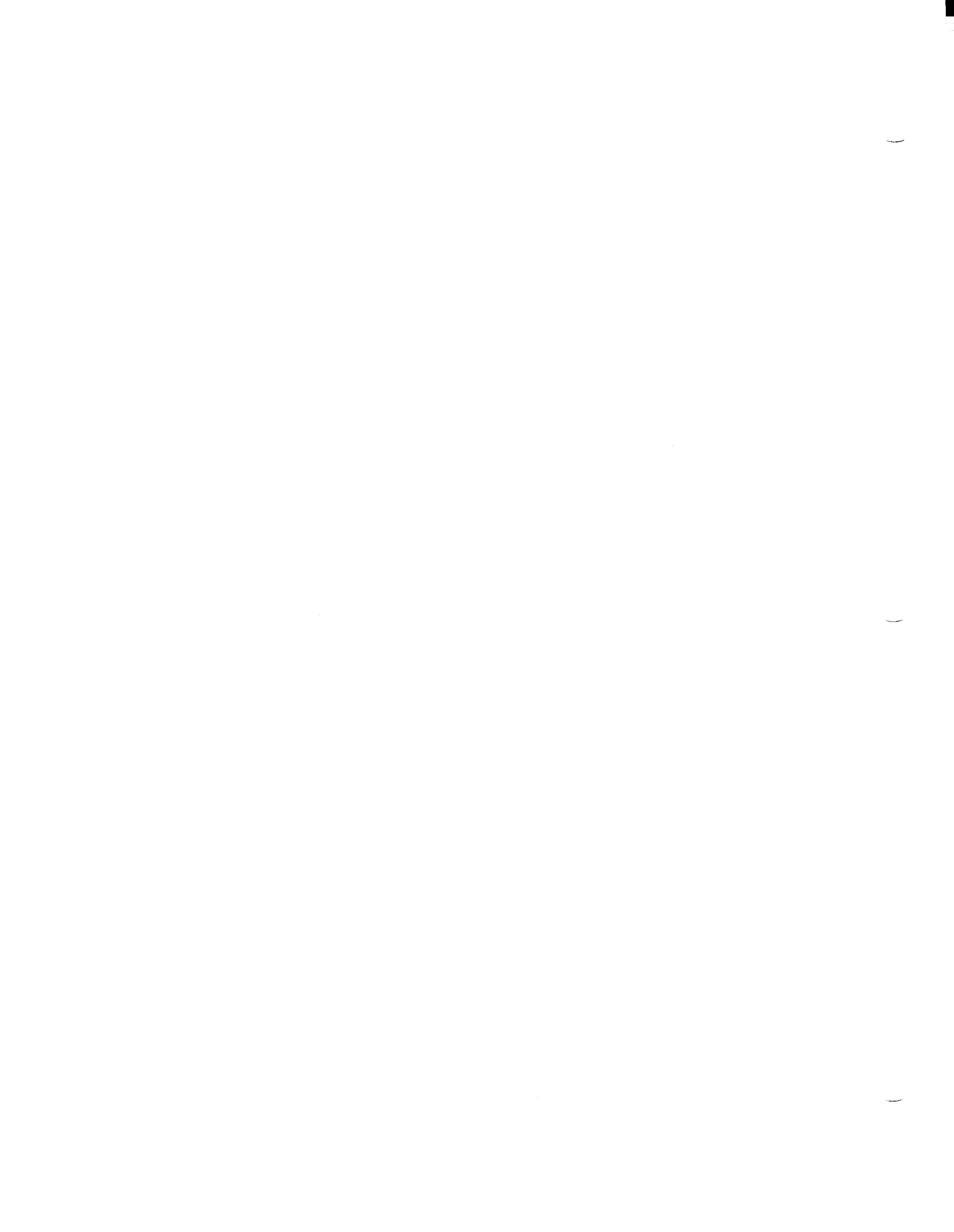
Recommended by: _____

Rating Official _____ Date _____

JUSTIFICATION: In the space provided, highlight major accomplishments for both Departmental and program-specific performance elements.

I. DEPARTMENTAL PERFORMANCE ELEMENTS:

II. PROGRAM-SPECIFIC CRITICAL PERFORMANCE ELEMENTS:



DEPARTMENT OF THE INTERIOR
DEPARTMENTAL MANUAL

Personnel

370 DM Addition to FPM

Chapter 920 Senior Executive Service and Related Systems

370 DM 920,6.1

Subchapter 6. Executive Compensation, Awards and Benefits for Members of the Senior Executive Service and Equivalent Officials.

6.1 Policy. It is the policy of the Department to compensate senior executives in accordance with organizational responsibility and demonstrated performance as documented in the Senior Executive Service Performance Appraisal System (see 370 DM 920,5). Additionally, the awards system of the Department will be used to provide recognition and reward for senior executives who demonstrate high levels of achievement. Compensation, awards and other benefits will be accorded to executives in a fair, objective and impartial manner on the basis of individual and organizational effectiveness as determined by an assessment of performance elements and standards.

6.2 Responsibilities.

A. Executive Resources Board (ERB).

- (1) Establishes executive compensation, awards and benefits policy;
- (2) Approves all initial SES pay rates and subsequent rate adjustments;
- (3) Approves all Departmental performance awards (bonuses) and establishes award distribution guidelines;
- (4) Approves all exceptions to guidelines and policies in individual cases;
- (5) Approves budgetary guidelines for the allocation of performance award funds;
- (6) Approves all superior accomplishment awards for members of the SES; and
- (7) Recommends award of Distinguished and Meritorious Executive ranks for Secretarial approval and submission through the Office of Personnel Management (OPM) to the President.

B. Assistant Secretary - Policy, Budget and Administration.

- (1) Under delegation provisions, is authorized to act for the ERB.
- (2) Provides recommendations to the Executive Resources Board (ERB) concerning pay rates and performance recognition and, after ERB approval, issues guidelines to program Assistant Secretaries, bureaus and offices;
- (3) Provides budgetary recommendations to the ERB regarding allocation of funds for performance awards; issues budget advice to program Assistant Secretaries, bureaus and offices; and

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~~370 DM 920,6.2B(4)~~

(4) Provides staff review and recommendations regarding individual cases submitted to the ERB for approval.

C. Program Assistant Secretaries and Equivalent Officials.

(1) Recommend performance and superior accomplishment awards for approval of the ERB;

(2) Recommend establishment and adjustment of ES pay rates;

(3) Make recommendations regarding executive ranks; and

(4) Recommend amounts of performance awards.

D. Performance Review Boards (PRB's). Review all recommended performance awards and make recommendations to the appropriate Assistant Secretary or equivalent official (see 370 DM 920, 5).

E. Bureau and Office Directors.

(1) Recommend pay rates for SES members within bureaus/offices; and

(2) Recommend superior accomplishment awards, performance awards and rank nominations for approval or endorsement of the appropriate Assistant Secretary.

6.3 SES Pay Rate Determinations.

A. Restriction on ES Pay Rates. No SES pay rate may be set or changed without prior approval of the ERB.

B. Entry Rates.

(1) The pay rate for an employee entering the SES for the first time shall be set at the lowest scheduled ES rate which represents an increase from the individual's previous level of compensation. For appointments of current Federal employees, the SES pay rate may be established to reflect, as a maximum, the two step promotion rule with the stipulation that no pay rate above ES-4 should be recommended for initial appointment to SES.

(2) On reentry into SES an employee may receive the equivalent of the highest previous ES rate, provided that such rate does not exceed ES-4.

C. Annual Adjustments of ES Rates.

(1) With the prior approval of the ERB, upward adjustments of ES rates may be made annually for executives with performance appraisal ratings of Fully Successful or higher. Upward adjustments may be made once only in any 12-month period.

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(2) Downward adjustments of ES rates, not to exceed one rate, may be made annually for executives with performance appraisal ratings of Minimally Satisfactory or Unsatisfactory. Downward adjustments require prior ERB approval. Downward adjustments may be made once only in any 12-month period.

(3) Rate adjustment recommendations must be accompanied by a formally executed performance appraisal document. Recommendations to the ERB for upward or downward adjustments must be made by the appropriate Assistant Secretary or equivalent official, if such recommendation is appropriate.

(4) Upward rate adjustments will normally be limited to no more than one ES rate at a time and are based on performance, ability to achieve Departmental goals and objectives, and/or more responsible assignments. Rate changes above ES-4 are normally limited to executives with significant assignments (Bureau or Office Director, Bureau Deputy Director, Deputy Assistant Secretary, Assistant to the Secretary) or demonstrated exceptional competence. The ES-6 level is normally reserved for Bureau Directors, Principal Deputy Assistant Secretaries and equivalent assignments. Upward adjustments of two ES rates may be made in exceptional instances with approval of the ERB. Only in extraordinary cases will a two rate upward adjustment be approved for executives currently at ES-4.

D. Effect of Reassignment. The ES rate of an executive with a Fully Successful or higher performance appraisal rating who is reassigned to another SES position normally will not be reduced. Exceptions to this policy require the approval of the ERB.

6.4 General Schedule Step Determinations.

A. Granting Step Increases. Step increase determinations for employees at grades GS-16, 17 and 18 will be made in accordance with 370 DM 531.

B. Quality Step Increases. Quality step increases should be considered for GS-16, 17 and 18 employees who receive outstanding performance appraisal ratings in accordance with procedures in 370 DM 531.

C. Withholding Step Increases. An employee whose current performance rating is less than Fully Successful is not performing at an acceptable level of competence and therefore is not eligible to receive a within-grade increase. However, if an employee's performance, after the current performance rating period has expired, has improved sufficiently to warrant a conclusion that the employee is performing at an acceptable level of competence, the employee may then be granted a within-grade increase. Such a decision must be supported by a written statement setting forth the reasons for granting the within-grade increase.

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6.5 Career SES Performance Awards (Bonuses). Performance awards (bonuses) for career Senior Executive Service employees will be used as the principal means of monetary recognition for superior work accomplishment. Recommendations for performance awards will be forwarded annually to the appropriate PRB with performance appraisal documentation. Assistant Secretaries will act on the recommendations of the PRB's and forward their decisions for performance awards to the ERB for endorsement. The distribution of awards shall be determined by the Secretary from a minimum of 5 percent to a maximum of 20 percent of the career appointee's payable base of pay. The total compensation that a career executive may receive during any fiscal year from a combination of base pay, award or other monetary recognition may not exceed the payable rate of Executive Level I in effect at the end of such fiscal year.

A. Restrictions. Performance awards are limited to a percentage of the number of SES positions in the Department. This percentage is subject to change by the Congress, OPM or the Department. The Assistant Secretary - Policy, Budget and Administration will develop recommendations and the ERB will approve appropriate measures to assure Departmental compliance with all imposed limitations. Such measures will include:

(1) Preparation of Departmental guidelines on the number of allowable performance awards; provision of guidance regarding methods to determine allocation of bonuses, within Departmental limitations, taking into account measurable indicators of organizational and individual effectiveness;

(2) Preparation of guidance setting forth available funds, rate adjustments and superior accomplishment awards; and

(3) All bonus decisions require endorsement by the ERB.

B. Budget Guidance. In connection with the development of fiscal year budgets, the Assistant Secretary - Policy, Budget and Administration will develop budgetary recommendations for the ERB regarding the amount of funds to be made available for bonuses and ranks. Recommendations will be based on the anticipated costs of bonuses derived from application of the pay guides to individual bureaus and offices. At the discretion of the ERB, organizational performance considerations may also be utilized in determining appropriate funding levels for bureaus.

6.6 Superior Accomplishment.

A. Distinguished and Meritorious Executive Ranks.

(1) For career SES members, recommendations for the award of Distinguished and Meritorious Executive ranks will be made through the appropriate Assistant Secretary or equivalent official to the ERB for approval and submission by the Secretary through OPM to the President. The recommendation must take into account the individual's performance over a period of years. OPM shall review such recommendations and provide to the President recommendations as to which of the

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recommended appointees should receive such rank. If for any reason the recommendations of the Secretary are not approved, the individuals concerned may be considered for performance awards on the basis of performance appraisal ratings in accordance with current Departmental policy.

(2) During any fiscal year the number of career appointees recommended for the rank of Meritorious Executive may not exceed five percent of the total number of Departmental Senior Executive Service career appointees and the number of career appointees recommended for the rank of Distinguished Executive may not exceed one percent of the total Department of the Interior Senior Executive Service career appointees. A career appointee awarded a rank of Meritorious or Distinguished Executive shall not be awarded the same rank during the following four fiscal years.

(3) Receipt by a career appointee of the rank of Meritorious Executive entitles such individual to a lump-sum payment of \$10,000 which is in addition to base pay paid under Section 5382 of Title 5 U.S.C. (Senior Executive Service) or any award paid under Section 5384 of Title 5 U.S.C. Rank of Distinguished Executive entitles the individual to a lump-sum payment of \$20,000 which is in addition to base pay paid under Section 5382 or any award paid under Section 5384 of Title 5. However, total compensation may not exceed the rate payable for Executive Level I.

(4) All career SES members recommended for Distinguished or Meritorious Executive ranks may also be considered for Departmental Distinguished or Meritorious Service Awards, as appropriate, in accordance with 370 DM 451.

(5) Presidential appointees requiring Senate confirmation, Executive Level and noncareer SES executives are not eligible to receive Distinguished or Meritorious Executive ranks.

B. Superior Accomplishment Awards for Career Senior Executive Service Members.

(1) Superior accomplishment awards may be granted under unusual circumstances which are not directly related to the annual performance appraisal process.

(2) Superior accomplishment award nominations for career Senior Executive Service employees must be forwarded by the bureau or office director to the ERB, through the appropriate Assistant Secretary, for review and approval of the ERB.

(3) Policy and procedures in regard to these awards are set forth in 370 DM 451.

C. Superior Accomplishment Awards for Noncareer and General Schedule Executives.

(1) Superior accomplishment awards may be considered for Executive Level, noncareer SES and General Schedule career executives. Recommendations for such awards should be made in accordance with the procedures in 370 DM 451.

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(2) Executive Level employees and those noncareer SES executives who receive Level 5 summary rating levels (Outstanding) may also be considered for the Department's honorary Outstanding Service Award (370 DM 451).

(3) General Schedule career executives who receive appropriate performance appraisal ratings (Fully Successful or higher) may be considered for the Departmental Distinguished or Meritorious Service Awards, as appropriate, in addition to consideration for superior accomplishment cash awards (see 370 DM 451).

6.7 SES Sabbaticals. Consistent with regulations issued by OPM, sabbaticals are available for SES members. Eligible candidates may be nominated for sabbaticals by heads of bureaus and offices, endorsed by the appropriate Assistant Secretary and approved by the ERB. A justification statement must accompany the nomination which describes the benefit of the sabbatical to be derived by the employee and the Department (see 370 DM 920, 10).

6.8 Annual Leave. Annual leave may be accrued without limit for the time that an employee remains in SES. However, annual leave which was accumulated prior to entry into SES and which exceeds 240 hours is subject to forfeiture and possible restoration under certain conditions (See FPM 630,3-5a and FPM Letter 630-22).

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Part 370: Departmental Human Resources Management Program Part 370, Chapter 920-7

Chapter 920: Senior Executive Service
Subchapter 7: Reduction in Force in the Senior Executive Service
Originating Office: Office of Personnel
Office of the Secretary

1. Policy

The Department will institute Reduction in Force (RIF) procedures in the Senior Executive Service (SES) when career SES members must be released from their positions due to elimination or modification of one or more SES positions due to a reorganization, lack of funds, curtailment of work, or any other factor.

The Department will utilize a RIF in the SES only when it is not possible to reassign affected SES members into continuing SES positions within the Department.

2. Coverage

RIF in the SES applies only to career appointees, including career appointees serving in a probationary period. Retention of reemployed annuitants, and of noncareer, limited term, and limited emergency SES appointees will be considered separately from these procedures established for career SES appointees.

3. Competitive areas, competitive levels, and competitive groups

A. Competitive areas

The areas of competition for RIF in the SES are bureaus and organizational components equivalent to bureaus. An SES member in one competitive area who is released from his or her position due to RIF will not displace an SES member in any other competitive area.

The competitive areas are:

- (1) Office of Inspector General
- (2) Office of the Solicitor
- (3) Office of the Secretary and
Office of the Assistant Secretary -
Policy, Management and Budget

(Includes SES positions in the Immediate Offices of
the Assistant Secretaries)
- (4) National Park Service
- (5) U.S. Fish and Wildlife Service
- (6) National Biological Service
- (7) U.S. Geological Survey
- (8) Bureau of Reclamation
- (9) U.S. Bureau of Mines
- (10) Bureau of Land Management
- (11) Office of Surface Mining Reclamation and
Enforcement
- (12) Minerals Management Service
- (13) Bureau of Indian Affairs

B. Competitive levels

- (1) Competitive levels are established within each competitive area. A competitive level includes all positions which are sufficiently alike in qualification requirements, duties, and responsibilities to permit reassignment of an executive from one position to another without undue interruption of work and with the expectation that the reassigned executive will be able, within a reasonable amount of time, to perform at an acceptable level of competence.
- (2) Bureau Directors and Office Heads will recommend to the Executive Resources Board (ERB), through the cognizant Assistant Secretary, assignment of a competitive level to all positions occupied by career SES appointees within their organization.

- (3) The ERB will review and approve establishment of competitive levels, and inclusion of the specific positions within each competitive level, before a RIF may proceed in any competitive area.

C. Competitive groups and subgroups (retention registers)

- (1) SES members within a competitive level are placed in the competitive groups and subgroups listed in the following section (3.C.(3)). Competitive groups are primarily based upon SES members' current official and final performance rating of record.
- (2) The order of retention standing within a competitive group is determined by the total number of retention credits allotted to each executive.
- (3) Competitive groups and subgroups are established as follows:

<u>Group I</u>	
<u>Post-probationary SES members with a current performance rating of PASS who have received one or more of the following performance recognitions:</u>	
<u>Performance Recognition</u>	<u>Retention Credit</u>
- Distinguished Rank (past 4 years):	2 points
- Meritorious Rank (past 4 years):	1 point
- Incentive award (Special Act or Service) (past 1 year)	1 point
- DOI Distinguished Service Award: (past 4 years)	1 point
- DOI Meritorious Service Award: (past 4 years)	0.5 point

<u>Group II</u>	
<u>Post-probationary SES members with a current performance rating of PASS who have not received any of the performance recognitions listed under Group I:</u>	
<u>Service</u>	<u>Retention Credit</u>
- Each full year of SES service: (maximum 5 years)	0.5 point
- Each full year of Federal service: (maximum 20 years)	0.1 point

Group III

Probationary SES members with a current performance rating of PASS who have received one or more of the following performance recognitions:

<u>Performance Recognition</u>	<u>Retention Credit</u>
- Incentive award (Special Act or Service)	1 point
- DOI Distinguished Service Award: (past 4 years)	1 point
- DOI Meritorious Service Award: (past 4 years)	0.5 point

Group IV

Probationary SES members with a current performance rating of PASS who have not received any of the performance recognitions listed under Group III:

<u>Service</u>	<u>Retention Credit</u>
- Each full year of SES service: (maximum 5 years)	0.5 point
- Each full year of Federal service: (maximum 20 years)	0.1 point

Group V

SES members with a current performance rating of PROVISIONAL:

<u>Service</u>	<u>Retention Credit</u>
- Each full year of SES service: (maximum 5 years)	0.5 point
- Each full year of Federal service: (maximum 20 years)	0.1 point

Subgroup V-A: Post-Probationers
Subgroup V-B: Probationers

Group VI

SES members with a current performance rating of FAIL:

<u>Service</u>	<u>Retention Credit</u>
- Each full year of SES service: (maximum 5 years)	0.5 point
- Each full year of Federal service: (maximum 20 years)	0.1 point

Subgroup VI-A: Post-Probationers
Subgroup VI-B: Probationers

- (4) The ERB will review and approve all competitive groups and subgroup listings for each competitive level before a RIF may proceed within a competitive area.

D. Release from the competitive level

SES members will be identified for release from their competitive level in the inverse order of retention standing, beginning with the executive in the lowest subgroup with the lowest standing on the retention register.

- (1) If two or more executives in the same competitive group or subgroup have the same number of retention credits, the date of entrance on duty into the SES is used to determine retention standing.
- (2) If both the numbers of retention credits and the dates of entrance on duty into the SES are identical, then the executives' service computation dates are used to determine retention standing.
- (3) The executive having the earliest date of entrance on duty into the SES (or earliest Service Computation Date if applicable) will be placed highest on the retention register.

4. Responsibilities

A. The Executive Resources Board (ERB)

- (1) Establishes Departmental policy governing RIF in the SES.
- (2) Determines the necessity of a RIF. No RIF in the career SES will be conducted without the prior written approval of the ERB.
- (3) Approves abolishment of specific SES positions due to RIF.
- (4) Certifies to the Office of Personnel Management (OPM) that there are currently no vacant SES positions within the Department to accommodate SES members affected by a RIF.

- (5) Approves RIF procedures.
 - (a) Reviews and approves the establishment of competitive levels, and competitive groups and subgroups (retention registers) within each competitive area.
 - (b) Approves the issuance of RIF notices to affected SES employees.
 - (c) Approves placement of SES members affected by RIF.

B. Assistant Secretaries

- (1) Assistant Secretaries are responsible for overseeing and coordinating SES RIF procedures for the competitive areas within their organizations.
- (2) Without the written concurrence of the cognizant Assistant Secretary, the ERB will not entertain requests for approval of:
 - (a) a RIF within a competitive area;
 - (b) abolishment of specific SES positions within the competitive area; or
 - (c) establishment of competitive levels, or competitive groups and subgroups within a competitive area.

C. Bureau and Office Directors

Bureau and Office directors, as heads of the competitive areas, are responsible for managing a RIF in the SES within their organizations. Specific responsibilities include:

- (1) Making recommendations to, and requesting approval from, the ERB regarding the necessity of a RIF within their organizations.
- (2) Making recommendations to, and requesting approval from, the ERB regarding which SES positions are to be abolished in a RIF.
- (3) Making recommendations to, and requesting approval from, the ERB regarding establishment of competitive levels, and competitive groups and subgroups within their organizations.

- (4) After obtaining the approval of the ERB, issuing RIF notices to affected SES members within their organizations.
- (5) Making recommendations to, and requesting approval from, the ERB regarding placement of SES members within their organizations who are released from their competitive levels due to RIF.

D. Personnel Officers

- (1) Under the direction of the cognizant bureau or office head, will maintain all records pertinent to the establishment of competitive levels, and competitive groups and subgroups for the competitive area.

5. OPM placement assistance

- A. OPM provides placement assistance to career SES members who have completed the SES probationary period and who are in process of being removed from the SES because of RIF.
- B. The Chair of the ERB (or the Assistant Secretary - Policy, Management and Budget, if the Chair is below the Assistant Secretary level) provides written certification to OPM, describing internal placement efforts being made on behalf of affected employees and indicating that there are currently no vacant SES positions within the Department for which the affected employees are qualified.
- C. SES members affected by a RIF will be notified of their rights to placement assistance through OPM. To receive this assistance, the affected SES member must provide OPM:
 - (1) a completed, signed, and dated current application for employment (including geographic availability);
 - (2) the most recent SES performance appraisal;
 - (3) a Privacy Act statement giving OPM permission to release this information to other agencies; and
 - (4) (optional) a brief synopsis, suitable for publication, of their technical and managerial qualifications addressing the five Executive Core Qualifications as appropriate.

- D. SES members who fail to provide OPM with this information will be considered to have declined OPM placement assistance.
- E. Affected SES members are entitled to priority referral assistance for 45 calendar days from the date OPM acknowledges receipt of certification that the employees cannot be placed in an SES position within the Department.
- F. If an employee certified to OPM for placement assistance turns down an offer of career SES appointment from any agency to which referred by OPM, then OPM's placement efforts immediately cease and all outstanding priority referrals of the employee will be canceled.
- G. Employees who decline a reasonable offer of placement into an SES position through OPM placement assistance program may be removed from the SES at the end of the notice period.

6. Notices

A. Initial notice

Each career SES member subject to release from the competitive level due to RIF will receive an initial written notice, concurrent with certification to OPM, at least 45 calendar days before the effective date of the action. This notice must include:

- (1) The action to be taken and its prospective effective date.
- (2) The reasons for the action.
- (3) The employee's competitive area, competitive level, competitive group, and competitive subgroup (if applicable).
- (4) The place where the employee may inspect the regulations and records pertinent to the action.
- (5) Placement rights within the Department and through OPM's placement assistance program.
- (6) Notice of the employee's referral to OPM for placement assistance, date of such referral, and instructions for providing OPM information required for the placement assistance.

- (7) The employee's appeal rights, including the time limit for appeal and the location of the Merit Systems Protection Board office to which an appeal should be sent.

B. Final notice

In addition to the initial notice, SES members being released from their competitive levels due to RIF will receive a second and final notice at least one day before removal from the SES. This second notice will contain the following information:

- (1) The basis for removal from the SES (i.e., expiration of the 45-day placement period; declination of a reasonable offer);
- (2) The effective date of the removal;
- (3) Placement rights outside the SES;
- (4) Information regarding the employee's eligibility for severance pay or discontinued service retirement, as applicable; and
- (5) A reminder of the employee's appeal rights.

7. Appeal rights

A career appointee may appeal to the Merit Systems Protection Board whether the RIF complies with the competitive procedures contained in the governing regulations [5 CFR 359.602(a)].

8. Placement rights

A. During the notice period and the referral period to OPM for placement assistance, the employee remains as a career appointee of the SES with the Department.

B. Placement in vacant SES positions

- (1) SES members who have completed their SES probationary period and are identified for release from their competitive level under RIF procedures have placement rights into any vacant SES position in the Department for which they meet the qualification requirements.

- (2) Management has discretion whether to offer SES members serving a probationary period a vacant SES position for which they meet the qualification requirements.
- (3) SES members who have completed the SES probationary period have priority for placement in a vacant SES position over SES members still serving a probationary period.

C. Placement in a GS-15 position, or equivalent

- (1) SES members who:
 - are released from their competitive levels due to RIF; and
 - cannot be placed in a vacant SES position within the Department; and
 - cannot be placed in an SES position at another agency through the OPM placement assistance program,

will be offered a position at the GS-15 level (or equivalent) if they meet the following requirements:

- (a) They either:
 - have completed the SES probationary period; or
 - if serving in the probationary period, held a career or career-conditional appointment in the competitive service (or equivalent appointment) at the time they were appointed to the career SES.
 - (b) They meet the qualifications requirements of the GS-15/equivalent position they are being offered.
- (2) The GS-15/equivalent position offered to the affected employee must be a continuing position. That is, the position must last at least three months.
 - (3) If the employee being offered the GS-15/equivalent position is a nonprobationary appointee, or is a probationary appointee who at the time he or she was appointed to the career SES held a career or career-conditional appointment in the competitive service (or equivalent appointment), then the employee is

entitled to be placed in a GS-15 position of tenure equivalent to that of the appointment held at the time he or she was appointed to the SES (e.g., a permanent, term, or intermittent appointment).

- (4) Placement in a GS-15 position under these procedures must not cause the separation or reduction in grade of any other employee.

D. Pay

- (1) An employee removed from the SES and placed in a GS-15 position under RIF procedures is entitled to receive the highest of:
 - (a) The rate of basic pay in effect for the GS-15 position in which the employee is being placed;
 - (b) The rate of basic pay currently in effect for the position that the employee held in the civil service immediately before being appointed to the SES; or
 - (c) The rate of basic pay in effect for the employee immediately before being removed from the SES.
- (2) Pay provided under this provision will terminate if:
 - (a) The employee has a break in service of one (1) workday or more;
 - (b) The employee is demoted because of conduct or unacceptable performance; or
 - (c) The employee requests reassignment to a lower grade.

9. Records

- A. Each bureau and office, through its servicing personnel operations office, will maintain current records needed to determine retention standing of its career SES appointees.
- B. SES members have the right to inspect retention registers and related records to the extent that the cognizant Personnel Officer determines that they have a bearing on the executive's situation regarding RIF.

C. The servicing personnel operations offices will retain intact all retention registers and records relating to RIF for at least two years from the effective date of the action.

10. Legal authority

A. The statute establishing RIF in the SES is 5 U.S.C. 3595.

B. The regulations governing policy and procedures for RIF in the SES are 5 CFR 359 Subparts D (359.405), F (359.601-359.608), and G (359.701-359.705).

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Part 370: Departmental Human Resources Management Program Part 370, Chapter 920-8

Chapter 920: Senior Executive Service
Subchapter 8: Furlough in the Senior Executive Service
Originating Office: Office of Personnel
Office of the Secretary

1. Definition

A furlough is the act of placing employees in a temporary status without duties and pay because of lack of work or funds, or for other nondisciplinary reasons. There are two types of furloughs -- emergency and planned.

An emergency furlough is implemented in situations when the Department no longer has the necessary funds to operate and by law must shut down all activities which are not excepted by standards issued by the Office of Management and Budget. The Department usually will have very little lead time to plan for an emergency furlough, and therefore may be unable to provide advance notice or to determine how many furlough days will be required. An example of a situation which warrants an emergency furlough is when there is neither appropriations legislation nor a continuing resolution in place at the beginning of a fiscal year to fund activities.

A planned furlough is a planned event designed to absorb reductions necessitated by downsizing, reduced funding, lack of work, or any other event which requires the Department to save money. A planned furlough differs from an emergency furlough in that the Department has sufficient time to give adequate notice of its specific furlough plan and how many furlough days will be required. An example of a situation which warrants a planned furlough is if, as a result of Congressional budget decisions, the Department is required to absorb spending reductions over the course of a fiscal year.

2. Policy

The Department will implement a furlough in the career Senior Executive Service only when immediate cost savings are imperative and when a reduction in force is neither necessary nor warranted.

Further, the Department will implement a furlough in the career SES only when circumstances indicate that the affected executives can be recalled at the end of the furlough and that the furlough will last less than one year. Otherwise, the Department will implement reduction in force procedures.

3. Coverage

The Department's SES furlough policy applies to all SES career appointees, including career appointees serving in a probationary period, in all Offices and Bureaus within the Department, with the exception of the Office of the Inspector General.

Noncareer, limited term, and limited emergency SES appointees, as well as reemployed annuitants, may be furloughed without regard to these provisions.

4. Responsibilities for implementing a furlough in the SES

The Executive Resources Board has the responsibility to approve the implementation of a furlough in the SES.

The ERB will make the decision to implement an emergency furlough and will direct the Office of Personnel to manage the emergency furlough procedures Departmentwide.

Assistant Secretaries or equivalent officials will request ERB approval to conduct a planned furlough within their organizations. Such proposals will be supported by a furlough plan, which will include:

- (1) a statement indicating the reasons for the proposed furlough, a rationale supporting why a furlough is the best mechanism to resolve the situation, and an accounting of the savings to be accrued;
- (2) the organization units to be involved in the planned furlough;
- (3) the names, position titles, and ES pay rates of the career SES appointees proposed for furlough;

- (4) the length of the proposed furlough;
- (5) the beginning and ending dates of the proposed furlough;
and
- (6) a draft notice to executives who would be affected by
the proposed furlough.

5. **Competition for furlough**

Furloughs which last more than 30 calendar days (22 work days) must be conducted under the competitive procedures established for reduction in force in the SES. This guidance is found in Human Resources Letter 95-8 (920), issued July 11, 1995. The competitive procedures are used to identify which executives will be furloughed.

Furloughs lasting less than 30 calendar days may be conducted without competitive procedures. Heads of Bureaus and Offices, with the concurrence of the cognizant Assistant Secretary or equivalent official and the approval of the ERB, have authority to determine which career SES appointees will be affected by furloughs of less than 30 calendar days.

6. **Length of furlough**

A furlough may not last for more than one year. Reduction in force procedures will be implemented when curtailment of work or lack of funds is expected to last for more than one year.

7. **Notice**

Career SES appointees identified for furlough will receive a written advance notice at least 30 days prior to the action. In the case of a planned furlough, the advance notice will be provided by the appropriate Assistant Secretary or equivalent official. In the case of an emergency furlough, the notice will be provided by the Director of Personnel, acting on behalf of the Executive Resources Board.

The advance notice period may be shortened or waived, as necessitated by unforeseeable circumstances or sudden emergencies which require immediate curtailment of activities and create the need for an emergency furlough.

The written advance notice will include:

- (1) the reason for the furlough action;

- (2) the expected duration of the furlough and the effective dates;
- (3) the basis for selecting the executive for furlough (when some but not all career SES appointees in the organizational unit are being affected);
- (4) the reason if the notice period is less than 30 days;
- (5) the place where the executive may inspect the regulations and the records pertinent to the action; and
- (6) the executive's appeal rights, including the time limit for the appeal and the location of the Merit Systems Protection Board office to which the appeal should be sent.

8. Appeals

A career SES appointee who has been furloughed and who believes that the provisions of this policy have not been correctly applied may appeal to the Merit Systems Protection Board under provisions of the Board's regulations.

9. Records

Bureau/Office servicing personnel offices will maintain copies of all regulations and records pertinent to an SES furlough in their organizations.

The Department's Office of Personnel will maintain all records relating to SES furlough actions for at least one year from the effective dates of the actions.

10. Legal authority

- A. The statute establishing furlough in the SES is 5 U.S.C. 3133 and 3136.
- B. The regulation governing policy and procedures for furlough in the SES is 5 CFR 359 Subpart H (359.801 - 359.807).

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Subchapter 9. Executive Development - General Provisions.

9.1 References. Executive Development is one component of an integrated personnel management system concerned with the effective utilization of executive personnel. Other provisions on executive personnel will be found in Position Management, 370 DM 312; Career Staffing, 370 DM 361; Intergovernmental Personnel Act, 370 DM 334; Training, 370 DM 410; and Civil Service Reform Act (CSRA) of 1978.

Provisions for the development of employees below the Executive Level are contained in Supervisory Development, 370 DM 411, and Management Development, 370 DM 412.

9.2 Policy. The development of individuals for and within the Senior Executive Service (SES) was established as part of the CSRA of 1978 (P.L. 95-454, Title IV). The Department has adopted the policy of executive development to ensure continuity in executive leadership. Programs to provide developmental experiences for all executives (whether SES, Supergrade, Executive levels or equivalent) and systems for identifying and developing employees of high potential will receive the continuing support of the Secretariat, heads of bureaus and offices and all subordinate executives and managers. All executives and competitively selected candidate participants will have equal access to developmental activities without regard to age, race, religion, color, national origin, handicap, politics, sex or marital status.

9.3 Objectives. The Department must develop and utilize its human resources as effectively as possible in meeting its responsibility to the public. The objectives for the Executive Development System are as follows:

- A. To promote the recognition of management as a distinct discipline which shares a common body of knowledge.
- B. To promote the concept of executive mobility.
- C. To establish budgetary and staffing resources necessary to operate the executive development system through such means as securing adequate appropriations or reprogramming existing resources.
- D. To establish procedures which will systematically ensure the consideration of women, racial minorities, physically handicapped, disabled veterans and older workers.
- E. To assure that the Department has a sufficient number of qualified executives to meet its present and future needs.
- F. To provide for the initial and continuing systematic development of highly competent senior executives and to provide for the development of high potential candidates preparing for senior executive positions.

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G. To establish evaluative procedures which will measure the organizational and individual impact of the system.

9.4 Responsibilities.

A. Secretary of the Interior. The Secretary has established and will maintain a system for the development of candidates for and members of the Senior Executive Service (SES) as identified in the Civil Service Reform Act of 1978 and in compliance with Office of Personnel Management (OPM) regulations and criteria.

B. Executive Resources Board (ERB). The ERB is responsible for developing and administering for the Secretary a systematic program of managing the Department's executive resources. The ERB plans, directs and evaluates the Department's executive development effort and reports progress to the Secretary at least once annually. Composition and functions of the ERB are contained in 370 DM 920, 1.4.

C. Assistant Secretary - Policy, Budget and Administration (PBA). The Assistant Secretary - PBA discharges the duties of the Secretary with respect to budget management, comprehensive planning and the allocation of resources related to the Department's developmental programs.

D. Assistant Secretaries and Equivalent Officials. The program Assistant Secretaries and equivalent officials provide for executive development activities in their organizations through allocation of adequate resources and review of subordinate level performance in meeting requirements of 370 DM 920, 10.2.

E. Director of Personnel. The Director of Personnel serves as the Executive Secretary to the ERB. As such, this senior executive:

- (1) Develops recommendations for Departmentwide policies, systems, procedures and standards for executive development;
- (2) Coordinates executive development activities in the Department;
and
- (3) Implements Departmentwide executive development programs and activities through the Executive Personnel Staff.

F. Heads of Bureaus and Offices. The head of each bureau or office is responsible for his/her respective executive development activities described in 370 DM 920, 10.2.

G. Senior Executives. Each senior executive is responsible for developing and using to maximum capacities the human resources at his/her disposal including the development of future executives. Where applicable, executives are evaluated on the development of their subordinates as a part of the performance appraisal process. At the same time, executives should recognize their

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responsibilities for planning and continuing their own personal self-development through participation in and completion of identified developmental activities.

9.5 Definitions. For purposes of this Subchapter, and Subchapter 10, the following definitions apply:

A. Senior Executive. An SES member or incumbent of a Supergrade, Executive Level or equivalent executive level position.

B. SES Member (Incumbent). A career member of the SES who has completed a one-year probationary period. SES members are described in 370 DM 920,1.2.

C. New Entrant to the SES. A career member of the SES who has not completed a one-year probationary period.

D. SES Candidate. A high potential GS-15 or equivalent employee serving in career or career-type appointment who has been competitively selected; employee serving on other than career or career-type appointment within the Civil Service; or individual selected from outside Government who is appointed utilizing a Schedule B appointing authority and who has participated in and successfully completed an Office of Personnel Management (OPM) approved SES Candidate Development Program (SESCDP).

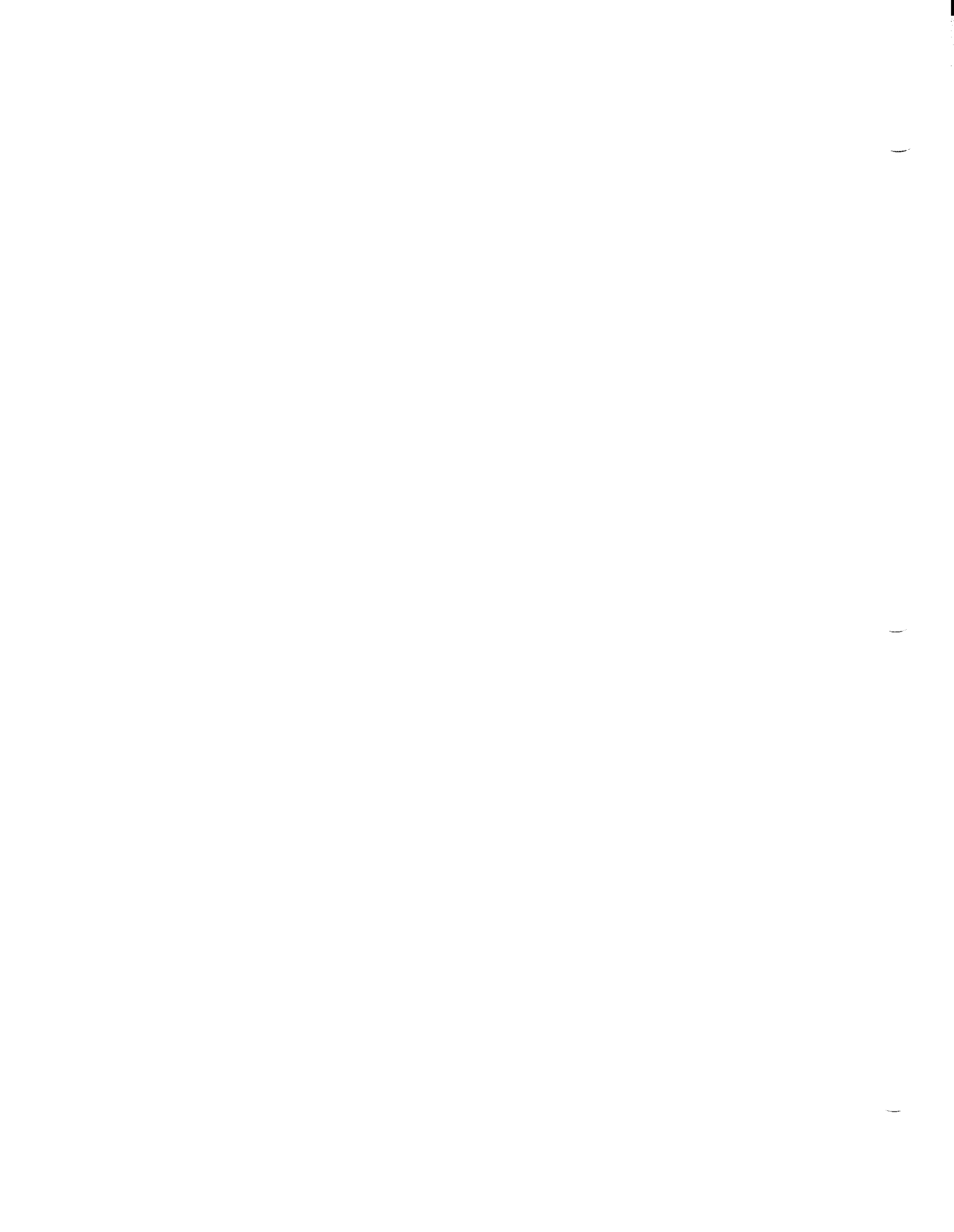
E. SESCDP Participant. An individual, as described in 370 DM 920, 9.5D, who is participating in an OPM-approved candidate development program.

F. SES Advisor (Mentor). A selected member of the SES or equivalent level executive who assists an SESCDP participant in the design and implementation of individual career development strategies that will meet both individual needs and Departmental human resource requirements.

G. Individual Development Plan (IDP). An annually prepared training schedule designed to identify and record specific developmental objectives and accomplishments.

H. Developmental Work Assignment. An on-the-job work related experience used to develop an individual's job competencies and abilities. Assignments can be intra or interagency and can vary in length. Details, task force assignments, rotational assignments, personnel exchanges and committee memberships are commonly used.

I. Formalized Training. A program which features a structured classroom setting designed to accomplish specific course or subject matter objectives and conducted by an individual or groups of subject matter experts.



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Subchapter 10. Senior Executive Development Programs

10.1 Departmental Executive Development Program

A. Development of Executives and SES Members (Incumbents).

The Department's system for the continuing development of executives and SES incumbents will:

- (1) focus primarily upon work related developmental experiences;
- (2) include the preparation and regular updating of an Individual Development Plan (IDP) for each SES member; these plans are coordinated with the performance appraisal cycle and are to focus upon enhancing existing competencies as well as correcting deficiencies identified in performance evaluations, expanding general executive competencies and preparing members for future assignments;
- (3) include a monitoring mechanism to ensure that SES member IDP's are prepared and carried out;
- (4) result in developmental experiences for senior executives and SES members which, through continuing short-term opportunities and periodic involvement in more extended programs, will:
 - (a) help meet organizational needs for managerial improvement, increased performance and productivity;
 - (b) help executives keep up-to-date in professional, technical, managerial, social, economic, legislative and Governmental areas;
 - (c) meet the needs of executives for professional growth and development;
- (5) include the involvement of SES members as advisors for their subordinates and for individual SES Candidate Development Program participants, as needed;
- (6) permit participation in Office of Personnel Management (OPM), White House or other-sponsored special programs and activities for executives and SES members; and
- (7) include provisions for participation in executive sabbaticals for carefully selected SES members as described in 370 DM 920, 10.1D.

B. Development of New Entrants to the Senior Executive Service.

All new career entrants to the SES serve a one-year probation and are to be provided with developmental work and formal training experiences necessary to enhance their performance in the new work assignments. Appointees will be required to attend bureau identified training as soon as practical after final appointment

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and to complete their individualized program prior to completion of the probationary period. Performance and developmental accomplishments during probation will be monitored. Noncareer executives are encouraged to complete a comparable program.

C. Development of SES Candidate Development Program (SESCDP)

Participants. Each bureau that participates in the SESCO DP estimates the number of SES vacancies that it anticipates over a twelve month period and selects for program nomination not more than twice the number of estimated vacancies. After preliminary screening, bureaus submit nominations, through a Departmental assessment process, to the Executive Resources Board (ERB) for review and final selection prior to entry into the program. Generally, the SESCO DP will be completed in fifteen months. In some instances, however, an individual's program may be extended to a maximum total of twenty-four months for completion of developmental experiences. Upon successful completion of the SESCO DP, the candidate will be certified as eligible for an SES position. SES certification will be valid for a period of five years. During this period, certified graduates will be eligible for placement in an SES position without further competition.

Each bureau and independent office is advised to announce the SESCO DP as a training opportunity, to competitively select high potential applicants and to nominate these persons to the Department's ERB through the appropriate Assistant Secretary or equivalent official. The Department, bureaus and offices will announce the program throughout Government (see 370 DM 920,4.3B on Recruitment Plans) and may also consider individual applicants from outside Government.

In order to facilitate the recruitment and selection of SESCO DP candidates outside of Government, OPM has determined that the use of Schedule B appointment authorities is appropriate. This is a useful merit staffing tool not only to recruit non-Federal candidates but also to further the progress of equal employment opportunity programs. In order to accommodate possible candidates from various sources in the most flexible manner possible, two types of programs (which are administered in close coordination) are authorized:

(1) SES Candidate Status Program. A "Status" program is a part-time program for the development of candidates currently serving in career and career-type appointments.

(2) SES Candidate Non-Status Program. A "Non-Status" program is for the full-time development of candidates selected from outside Government and/or from among employees serving on other than career or career-type appointments within the civil service, utilizing Schedule B appointing authorities. These programs are characterized by the following:

(a) An appointment under a Schedule B appointment authority may not be extended beyond three years.

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(c) The Assistant Secretary or equivalent official will review and, if in concurrence, approve and send the request to the ERB through the Assistant Secretary - Policy, Budget and Administration for final approval.

(4) Sabbatical Monitoring.

(a) The Sabbatical Program elements to be monitored by the Office of Personnel will include: The number of sabbaticals granted; the amount of funds (including staff salaries) expended to support the program; participant activities during sabbatical participation; and post-sabbatical job assignments.

(b) Sabbatical records will be maintained at least two years from the effective completion date(s) of the approved sabbaticals.

E. Individual Development Planning. The individual development planning process will be used in recording developmental work and training assignments, activities and accomplishments. Appendix D to this Chapter provides additional information on IDP's.

(1) Senior Executives and SES Incumbents. IDP's are required for each career SES executive and are desirable for all other senior executives. IDP's should be developed collaboratively by the executive and his/her supervisor and a bureau-approved copy submitted each year (as part of the Performance Appraisal Procedures in 370 DM 920, 6.14) to the Director of Personnel, Attention: Executive Personnel Staff.

(2) New Entrants to the SES. Each new entrant to SES, in concert with the supervisor, develops an IDP which identifies the competencies and developmental experiences necessary to orient the employee to and enhance performance in the new job. Developmental activities should be scheduled during the probationary period. The probationary period is monitored by the Department and by the appropriate bureau or office through quarterly developmental progress reports with copies submitted to the Director of Personnel. Following the one year probation, IDP's, developmental activities and evaluation reports are scheduled in accordance with guidance provided for SES incumbents.

(3) SES Candidate Development Program (SESCDP) Participants. Each individual selected for participation will, in collaboration with his or her supervisor, complete an IDP which will identify the competencies required to prepare the candidate for an SES position. Candidates will have a senior advisor (mentor) who is an SES member and who will have input into the IDP, advise on special training and developmental experiences and assist in evaluating the effectiveness of the candidate's training. Each IDP must be approved at the next higher level in the organization and at the Assistant Secretary or equivalent level. A copy of each IDP must be furnished to the ERB for approval. Specifically, IDP's shall, depending upon the needs of individual participants, provide for the following:

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- (a) Training in managerial theory and practice;
- (b) Participation in OPM-sponsored interagency executive development training focused on Governmentwide executive competencies (unless exempted in advance by OPM, on a case by case basis, all participants must attend an Executive Development Seminar course to minimally fulfill this requirement). In most cases, individuals should be scheduled for at least one additional formal training and/or educational experience (e.g., a Federal Executive Institute, Brookings Institution, Legislative or Congressional Fellows program, etc.) during the SESCDP;
- (c) Developmental work assignments which will meet participants' needs for work experience; line and staff assignments in field and headquarters organizations; and other work assignments which will be made available; and
- (d) Documentation of additional developmental experiences provided to persons selected for the non-status candidate program.

F. Developmental Work and Formal Training Assignments. Developmental work and formal training activities for an executive will be arranged in accordance with specific needs and objectives identified in the IDP. Developmental work assignments will figure prominently in the plans of most executives. However, formal training programs for executives are appropriate and should be considered. Programs which are conducted at the Federal Executive Institute and Executive Seminar Centers of OPM, the Brookings Institution and various public executive development programs at colleges and universities are among those available for consideration (see Appendix E to this Chapter).

G. Monitoring and Reporting Executive Development.

(1) Consistent with the Executive Development monitoring requirement of the CSRA, the Department will submit annual updated reports to OPM on implementation of its Executive Development Plan. (This report has been assigned Report Control Symbol 0259-OPM-AN). Annual monitoring reports will be submitted in October of each fiscal year until September 30, 1984. To facilitate monitoring activities, the Department will announce the format to be used by bureaus/offices when submitting annual Executive Development Program update and accomplishment reports.

(2) Monitoring and documentation of each individual's developmental activities will be conducted and used for planning, evaluating and reporting purposes. Use of Standard Form 182 or Optional Form 170, "Request, Authorization, Agreement and Certification of Training", is required. When training related to an SES career executive or an SESCDP participant is completed, a copy of the SF 182 evaluation form will immediately be forwarded to the bureau training officer with a copy to the Chief, Executive Personnel Staff, Office of Personnel.

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(b) Bureaus must document, as part of Individual Development Plans, the kinds of additional experiences which will be provided to individuals selected for this program.

(c) Schedule B appointments must be made in the same manner as merit staffing prescribed for the SES, except that each bureau/office must follow the principle of veteran's preference as far as administratively feasible.

(d) Assignments must be for work, experiential and developmental purposes related to the development of SES candidates. Selectees will be assigned a supervisor who will evaluate assignment performance and have input into the candidate's final placement determination. Candidates serving under Schedule B appointments may not be used to fill a bureau/office's regular positions on a continuing basis.

(e) A bureau must use the Schedule B excepted appointment authority to fill positions established exclusively for the non-status program.

(f) Competitive appointment authorities may not be used to fill these positions.

D. Sabbaticals. The CSRA established the authority to provide sabbaticals for career members of the SES to engage in study or uncompensated work experience which will contribute to executives' development and effectiveness.

(1) Policy.

(a) The Secretary may grant a sabbatical to any selected career member of the SES for a period not less than three nor more than eleven months. A sabbatical shall not result in loss of or reduction in pay, loss of leave to which the career employee is otherwise entitled, loss of credit for time in service or loss of performance or efficiency rating.

(b) The Secretary may authorize essential travel expenses (including per diem allowances) for the approved study or experience.

(c) A sabbatical may not be granted to any career appointee: for more than once in any ten year period; if the appointee is eligible for voluntary retirement with a right to an immediate annuity (under Section 8336 of the CSRA); and, unless the appointee has completed seven years of service in one or more positions in the civil service which are equivalent to the levels of duties and responsibilities of positions in the SES; or any combination of positions, except that not less than two years of such seven years of service must be in the SES. Any period of assignment under Section 3373 of CSRA relating to assignments of employees to State and local governments is not to be considered a period of service for this purpose.

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(d) A career appointee must agree to serve in the civil service upon the completion of the sabbatical for a period of two consecutive years regardless of the length of the sabbatical. A signed two-year continued service agreement must be submitted with the project proposal (see Appendix F to this Chapter).

(e) In the event the career appointee fails to carry out the agreement (except for good and sufficient cause as determined by the Secretary), the appointee shall be liable to the United States for payment of all expenses, including salary (5 U.S.C. 3396 (C)(3)(b)).

(2) Proposals.

(a) Various types of developmental experiences may be considered in selecting and designing sabbatical proposals. Some examples which are not intended to be all-inclusive are: advanced academic teaching, study or research; self directed or supervised study; on-the-job work experience with public, private or non-profit organizations; or problem solving or laboratory research project activities.

(b) Descriptive proposals are to be prepared in accordance with the format in Appendix G to this Chapter.

(c) Submitted proposals will provide for periodic reports indicating the progress the executive is making toward the achievement of stated sabbatical objectives. Upon the completion of the project, a final report must be submitted. Reports will be sent through the appropriate Assistant Secretary or equivalent official for review and comment and will be forwarded to the Director of Personnel with copies to servicing training officers for retention.

(d) Projects will be evaluated on the basis of the following criteria: the proposal does not violate conflict of interest regulations; the value of the project in relation to achieving Departmental goals and missions; the potential value of the proposal's contribution toward the development and effectiveness of the SES member; the cost in terms of the value to the individual and Department; an assessment of the level of sophistication of the proposal and the executive's ability to accomplish the stated objectives; project creativeness and innovativeness; and the specificity of the sabbatical proposal in relation to accomplishment of stated objectives.

(3) Approval Process.

(a) An interested, eligible SES member will prepare and submit a proposal through his/her immediate supervisor to the appropriate bureau or office head.

(b) The bureau or office head will review the proposal and, if in concurrence, forward it to the appropriate Assistant Secretary or equivalent official for approval and endorsement.

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(3) Quarterly reports of developmental and training accomplishments are required for probationary SES appointees and for SES candidates. The completion and approval of an Executive Personnel Transaction (OPM Form 1390) for new appointees to the SES does not satisfy the developmental requirement for completion of the annual IDP. Semi-annual fiscal year reports are required of SES incumbents. Copies of all progress reports are to be submitted to the Office of Personnel.

10.2 Bureau Executive Development Program.

A. General Requirements. Bureau executive programs will consist of the following specific activities:

- (1) Establishing a high-level Executive Development Committee or equivalent at the headquarters level and at field levels as appropriate;
- (2) Designating an individual responsible for executive development;
- (3) Analyzing the bureau's present and predicted executive work force needs;
- (4) Establishing goals which target SES positions when feasible;
- (5) Recognizing the Governmentwide and Departmental underrepresentation of racial minorities and women in the SES, every effort should be made to identify and recruit individuals with executive potential from among these groups within the Department for purposes of informing them of this developmental opportunity and encouraging their nomination and participation.
- (6) Nominating career employees for participation in the SESCO based on estimated SES vacancies;
- (7) Recruiting candidates, as appropriate, from outside Government for participation in the non-status SESCO;
- (8) Establishing an annual plan of the bureau's developmental activities based upon aggregated developmental needs previously identified in bureau-approved IDP's;
- (9) Allocating staff and budget needed to achieve bureau executive development goals and needs; and
- (10) Conducting annual evaluations and submitting monitoring reports of the bureau's planned developmental accomplishments; documenting the results of program evaluations and all related studies and annually reporting these data as required by the Department.

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B. Establishing Bureau Procedures. Bureaus will establish and promulgate policies and procedures to ensure that executive development is an integral part of personnel management operations.

(1) Bureaus will maintain an inventory of all SES positions accompanied by a statement of the qualifications for each position. Vacant SES positions can provide the basis for planning when considering the nominations of potential candidates for SESCDP.

(2) Bureaus announce the SESCDP as a training opportunity; competitively select high potential applicants and nominate selected individuals to the Department for final ERB selection.

(3) The following executive competencies for Department of the Interior executives have been identified and are used during the bureau selection process:

Oral Communication	Delegation
Oral Presentation	Management Control
Interpersonal Skills	Decisiveness
Planning and Organizing	Decision Making
Problem Analysis	Initiative
Leadership	Written Communication

See 370 DM 920, Appendix B, for OPM-identified executive qualifications applicable to executive positions throughout the SES.

C. Required Developmental Activities. Developmental work and formal training activities, described in Appendix E to this Chapter, will be scheduled in accordance with developmental needs identified through analysis of IDP's. Each SES career executive and candidate will follow and complete a personal program which has been identified through executive/supervisor performance collaboration and which will emphasize developmental work assignments as one of the principal means for executive training. However, formal training and educational experiences are also to be provided as needed. Developmental activities for noncareer executives are not required. However, comparable developmental experiences are desirable and should be encouraged.

D. Evaluation and Reporting. Senior executives and candidates in development programs must prepare evaluation reports (Standard Form 182) following completion of the formal training experiences identified in their IDP's. In addition, SES new entrants and candidates are to prepare quarterly reports describing and updating developmental progress made during the reporting periods. Fiscal year semi-annual reports are to be prepared by SES incumbents. Reports will not be required when developmental activities are not scheduled or when additions or changes have not been made to an IDP during a reporting period. When appropriate, evaluations of a participant's performance during developmental detail/work assignments should be prepared by responsible supervisory officials. All reports and SF 182 evaluations will be forwarded

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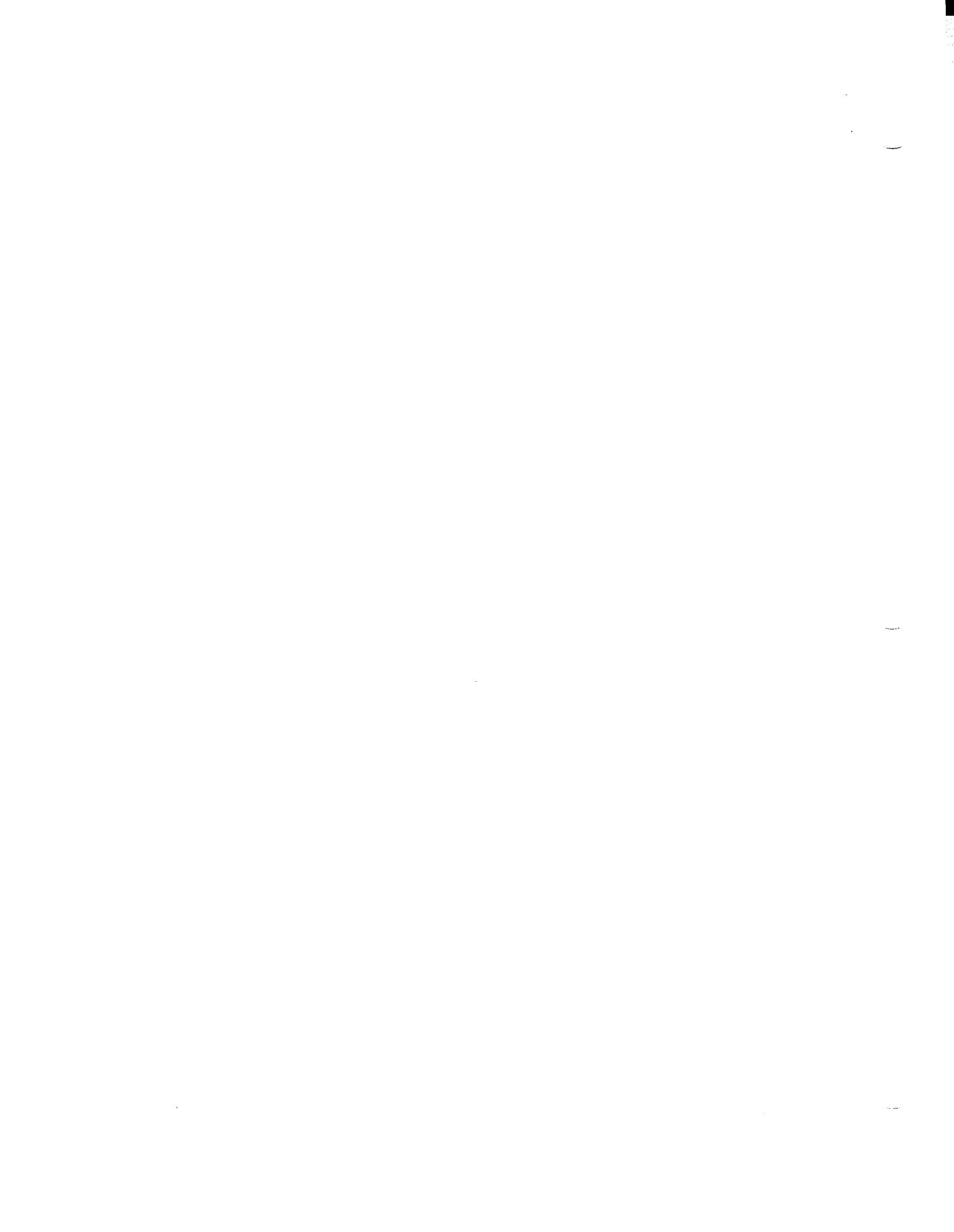
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to the bureau training officer. Copies of progress reports and training evaluation forms are to be forwarded to the Chief, Executive Personnel Staff, Office of Personnel.

E. Placement. Although the immediate needs of an organization usually receive the highest priority in filling positions, long range needs are better served by placements which provide employees with continuing opportunities for growth. Upon successful completion of SESCO, the candidate will be certified as eligible for SES appointment without further competition. Completion of the program does not assure the candidate of further advancement, however, program graduates do constitute an excellent source of qualified employees for senior executive positions. Bureaus should make every effort toward the placement of certified graduates of candidate programs (see 370 DM 920, 4.2, Sources of Candidates and 370 DM 920, 6.14, Placement Follow-up).



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Subchapter 11. SES Recertification Plan

11.1 General.

A. Authority. Under Section 506 of the Ethics Reform Act of 1989 (Public Law 101-194, November 30, 1989), Senior Executive Service (SES) career appointees are subject to recertification by their agencies. [Title 5 U.S.C. 3393a] [5 CFR 213, 317, 359, 842]

B. Objective. SES recertification ensures that the performance of career appointees demonstrates the excellence needed to meet the goals of the Senior Executive Service.

C. Relationship to Annual Performance Appraisal Process. The SES recertification process and the Departmental annual performance appraisal process are complementary but separate. While the annual appraisal looks at how well the career appointee has met the specific standards for his or her position for the year, the recertification process looks at the career appointee's performance over a period of three years, providing a broader view of the impact of an executive's activities.

11.2 Coverage.

A. SES career employees (hereinafter referred to as covered member/members) who have been continuously employed in the SES for 156 weeks preceding the end of the recertification period are subject to recertification. This period includes any service as an SES noncareer or limited appointee. It also includes service in any agency.

B. This recertification plan does not apply to SES noncareer or limited appointees. Nor does it apply to former SES career appointees who took Presidential appointments at Executive Level V or higher with Senate confirmation and elected to retain SES benefits.

C. Members who accept Presidential appointments and return to the SES must begin a new 156 week period, if the Presidential appointment was for 6 months or longer.

D. One or more breaks in SES service of a total of 6 months or less do not interrupt the 156 weeks of continuous employment. A break is defined as a time period during which the SES member was not being officially counted against the Department's SES position allocation.

E. Covered SES members who are on extended assignment or who are absent from their positions at the time of recertification (e.g., individuals on Presidential Executive Exchange Program or Intergovernmental Personnel Act assignments, extended sick leave, or leave without pay) are subject to

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recertification as long as they are officially occupying an SES position at the end of the recertification period as a covered member and meet the 156 week length of service requirement.

F. If an individual is recertified in another agency and then transfers to the Department during the recertification year, the individual is not subject to recertification in this Department, until the end of the 156 week recertification period.

G. If an individual transfers from another agency during the recertification year and no recertification decision was made in that agency, a recertification decision must be made in this Department.

11.3 Recertification Period. The initial recertification period shall end on June 30, 1991, coincident with the end of the annual performance appraisal period. Subsequent recertification shall take place every third calendar year thereafter. June 30 shall serve as the date for calculating the 156-week employment period.

11.4 Standard for Recertification.

A. The member must perform at the level of excellence expected of a senior executive. Excellence is a term from the statute. It is not a synonym for an "Excellent" rating, nor is it the same level of achievement as for Presidential rank awards. Excellence means that the member has demonstrated over the recertification period that he or she has achieved excellence in all of the following:

(1) Planning for, substantially advancing, and attaining Presidential, Departmental, or organizational goals and objectives that required a sustained superior effort;

(2) Taking specific initiatives that advanced a major policy and/or significantly improved delivery of services;

(3) Taking the necessary actions to ensure the achievement of a quality product in a timely manner; and

(4) Making significant technical, scientific, or professional contributions.

B. Also, if applicable to the responsibilities of the covered member, excellence is demonstrated by:

(1) Achieving substantial savings in the execution of programs under his or her direction;

(2) Maintaining the high quality and effectiveness of programs under his or her direction with reduced resources; and/or

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(3) Providing strong leadership to enhance the development, utilization and achievements of subordinate personnel, including achievement of equal employment opportunity goals.

11.5 Recertification Recommendation and Determination Procedures.

A. Recommendation by the Supervising Official. The supervising official, who is the covered member's supervisor of record, shall submit to the Performance Review Board (PRB), a recommendation, on Form DI-1970, Recertification Determination (see Appendix I), whether the member's performance justifies recertification as a senior executive. The supervising official may recommend a pay level adjustment at this time. (This does not preclude a pay level adjustment recommendation in conjunction with the annual performance appraisal. However, the provisions of 5 U.S.C. 5383(C) prohibit an agency from adjusting an individual's rate of basic pay more than once in a 12-month period.) The recommendation shall be based on the member's overall performance over the three preceding years in relation to the standard for recertification, including consideration of the factors identified in paragraph (1), below.

(1) The factors identified below should be used as a measure of whether the standard for recertification identified in paragraph 11.4 has been met in relation to written performance requirements for the member's position. Whenever possible, the supervising official's recommendation should be made on the basis of his/her consideration of all of these factors.

(a) The covered member's performance ratings for the three preceding years. Covered members do not necessarily have to have received annual performance ratings above Fully Successful to be recertified, nor do Fully Successful ratings guarantee recertification.

(b) Any award or other recognition received by the covered member. These include, but are not limited to, Presidential rank awards and other awards recognizing performance over a period of years that are received during the recertification period even though some of the achievements recognized may have occurred before the recertification period. They may also include an award received after the recertification period but before the recertification determination if the award recognizes performance that took place during the recertification period.

(c) Any developmental activities of the member. These include professional, educational, or self-developmental activities. Supervising officials should consider funding availability and the stage of the member's career, that is, long term executive versus newly appointed executive, when evaluating the extent to which a covered member participates in developmental activities.

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(2) The supervisor of record will make the recertification recommendation for members who have recently transferred from another agency prior to recertification in that agency, or who are on extended assignment or absent from their positions at the time of recertification. All relevant information on the member's performance during the recertification period, including performance ratings, will be obtained from all appropriate sources, e.g., the member as well as former supervisors. This information will form the basis for the supervisor's recommendation.

(3) There is no specific length of time that an official must serve as a member's supervisor before making a recertification recommendation.

(4) Prior to making a recommendation, supervising officials must provide members an opportunity to submit a written statement of accomplishments in relation to the standard for recertification.

(5) No narrative justification is required when the supervising official recommends recertification. A recommendation proposing conditional recertification or no recertification shall include a narrative justification. The justification should be sufficiently specific with regard to those unmet aspects of the standard for recertification to ensure that the member will understand the reasons for the recommendation, as well as to serve as support in the event of a third-party review. Supervising officials should contact their servicing personnel office to receive necessary technical advice and assistance prior to preparing such a justification.

(6) The member shall be given a signed copy of the recommendation provided on Form DI-1970. He/she shall be requested to acknowledge receipt of the recommendation on the form and be advised of the right to submit to the Performance Review Board (PRB) a statement of accomplishments and other documentation giving evidence of the quality of his/her performance in relation to the standard set forth. The member may amend any of his/her previously submitted documentation.

(7) Form DI-1970 and any appropriate written documentation (i.e., the member's statement of accomplishments if provided to the supervising official and/or a narrative justification for a recommendation other than to recertify) shall be forwarded for PRB review, along with annual performance appraisal documents.

B. Recommendation by the Performance Review Board.

(1) Performance Review Boards established for purposes of performance appraisal review in 370 DM 920,5.2B will review recertification recommendations and forward recommendations to the Executive Resources Board (ERB).

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(2) More than one-half of the members of the Board must be SES career appointees. These career appointees must be eligible for recertification during the current period; this requirement may be waived by the ERB if extenuating circumstances warrant. Board members may not take part in any deliberations or actions regarding recommendations on their superiors, their subordinates or themselves. Recertification recommendations for board members will be submitted to the Departmental Performance Review Board (DPRB) for review.

(3) After receiving the recommendation of the supervising official and any information provided by the covered member under paragraph 11.5A, the Board shall forward to the Assistant Secretary for submission to the ERB a recommendation, on Form DI-1970, whether the member should be recertified, conditionally recertified, or not recertified for continued employment as a senior executive in the SES.

(4) If the PRB requires additional information in order to make its recommendation, it may request additional documentation from the supervising official or the member, or request that either party appear before the Board.

(5) If the Board proposes to recommend conditional recertification or no recertification, the member shall be notified in writing. The notification shall include:

(a) the Board's rationale for its proposed recommendation. If the PRB chooses to use the same rationale as provided by the supervising official, it need only indicate its concurrence on the supervising official's justification;

(b) an invitation to appear before the Board prior to the forwarding of the recommendation to the Assistant Secretary. The member shall be given at least 10 days notice of the appearance. If the member requests, he/she shall be given a reasonable amount of official time to prepare for his/her appearance.

(6) If the Board recommends recertification, it may also recommend that the member's rate of basic pay be increased to a higher ES pay rate. If the Board recommends conditional recertification, it may also recommend that the member's rate of basic pay be reduced to the next lower ES pay rate. These recommendations must be documented on Form DI-1970.

(7) In addition to its recommendation, the Board shall provide the Assistant Secretary with the recommendation from the supervising official and any information received from the member.

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C. Role of Assistant Secretary or Equivalent Official.

(1) Prior to forwarding recommendations to the ERB for final determination, the Assistant Secretary may review PRB recommendations and include any comments he/she feels are pertinent to the recertification decision. The Assistant Secretary may not change a PRB recommendation.

(2) The Inspector General, as an appointing authority, shall make final recertification recommendations for members in the Office of the Inspector General.

D. Determination by the Executive Resources Board.

(1) The ERB shall make a final decision, with the participation and concurrence of the Secretary, whether to recertify, conditionally recertify, or not recertify. Determinations will not be based on a prescribed distribution of how many or what percentage of members will be recertified, conditionally recertified, or not recertified. The ERB may use narrative justifications provided previously as the basis for the decision. In addition, as part of responsibilities under 370 DM 920,1.4B(4), it shall take final action on pay rate change recommendations.

(2) Prior to making a decision to conditionally recertify or not recertify, the ERB must provide an opportunity to the member to make a presentation in writing and/or in person. Notification and official time provisions are the same as those provided in paragraph 11.5B(5).

(3) Written reasons must be provided for any decision to conditionally recertify or not recertify a covered member. The reasons must be specific enough so that the member will be able to understand why the decision was made and sufficiently substantive to support a third-party review.

E. Decision to Recertify. If the ERB determines that the member's performance warrants recertification, the ERB will document the recertification determination accordingly, on Form DI-1970, along with the appropriate annotation if a pay rate increase is made. If the ERB determines that the member's performance warrants recertification, the member shall continue in the SES. Further, the member's rate of basic pay may not be reduced at the time of recertification.

F. Decision to Conditionally Recertify.

(1) A decision that a member's performance warrants conditional recertification may not be appealed to the Merit Systems Protection Board or grieved through the Department of the Interior's grievance procedure; however, any decision to reduce the member's pay in conjunction with 11.5F(2)(a) below would be subject to Departmental grievance procedures.

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(2) If the ERB determines that the member's performance warrants conditional recertification, the ERB:

(a) May reduce the member's pay to the next lower ES pay rate, once 12 months have elapsed since the member's last pay adjustment (any such reduction in pay will be subject to Departmental grievance procedures (5 CFR 771)); and

(b) Shall notify the member in writing. Notification shall include the completed Form DI-1970 and all supporting documentation.

(3) During the 12-month period following conditional recertification, the member shall:

(a) remain a career appointee in the SES; and

(b) be subject to continuing close review of his/her performance by the supervising official in coordination with the Executive Resources Board (ERB). A performance improvement plan shall be developed by the supervising official, subject to the approval of the ERB, and provided to the member within 30 days of his/her notification of conditional recertification. The performance improvement plan should include a description of the deficiencies in the member's performance, what constitutes satisfactory completion of the plan, a statement of the support and assistance to be provided by the supervising official, and any planned training. It shall conform with performance standards established for the annual appraisal period. Periodic progress review discussions shall be held and documented at 90-day intervals. This documentation shall include acknowledgement by the member that the review has occurred. A copy shall be provided to the member.

(4) There is no provision for an extension of the 12-month period or for a second consecutive conditional recertification.

(5) At the end of the 12-month period following conditional recertification, a final recertification decision must be made. The process for this decision is the same as for the initial decision: the supervising executive makes a recommendation to the ERB through the Performance Review Board.

(a) If the member is recertified, he/she shall be retained in the SES. Any reduction in ES pay level made under paragraph 11.5F(2)(a) shall be restored as of the beginning of the first pay period following recertification when 12 months have elapsed since the pay reduction.

(b) If the member is not recertified, he/she shall be removed following the end of the 12-month period after conditional recertification, using procedures described in paragraph G, below.

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G. Decision Not to Recertify.

(1) If the ERB determines that the member's performance does not warrant recertification or conditional recertification, the member shall be removed from the SES in accordance with applicable law and regulation.

(2) The member shall be notified in writing at least 45 calendar days before the effective date of the removal from the SES.

(3) The notice shall include the completed Form DI-1970 and advise the member of:

(a) The basis for the removal action;

(b) The member's placement rights provided under 5 CFR 359.701-705. These rights include guaranteed fallback to a position at no lower than GS/GM-15 with saved pay. The position to which the member will be assigned shall be identified either in the advance notice or in a supplementary notice issued no later than 10 calendar days before the effective date of the action;

(c) The member's right to appeal to the Merit Systems Protection Board, including the time limit for appeal, the office to which an appeal should be sent, and that there is no provision for a stay in the removal action pending the appeal process;

(d) The effective date of the removal from the SES; and

(e) When applicable, the member's eligibility for immediate discontinued service retirement, in lieu of placement rights, with no annuity reduction based on age (CSRS) and eligibility for an annuity supplement regardless of age (FERS).

(4) Removal from the SES as a result of not being recertified may not be made effective within 120 days after:

(a) The appointment of a new Secretary; or

(b) The appointment within the Department of the career member's most immediate supervisor who is a noncareer appointee and has the authority to remove the member.

11.6 Recertification Plan Consultation, Approval, and Distribution.

A. In accordance with regulations, this Department developed the recertification procedures described in this plan in consultation with its SES career appointees.

B. This plan is not effective until the Office of Personnel Management approves it.

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New

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C. Copies of the approved plan, and any subsequent changes, will be provided to all covered members.

11.7 Training. Before the beginning of each recertification determination process, PRE members and executives who supervise covered SES members will be given training on the objectives and procedures of the recertification process.

11.8 Records. Recertification documentation shall be maintained in the member's Employee Performance Folder (EPF) for five years from the date of the recertification determination. (If a member is conditionally recertified, documentation for the final recertification determination shall be maintained for five years from the date of the conditional recertification.) EPF's shall be maintained in accordance with provisions in the SES Performance Appraisal Plan. Information contained in the EPF is protected under the provisions of the Privacy Act.

11.9 Reports and Evaluation. The Department will report to the Office of Personnel Management (OPM) such information, and take such corrective action, as OPM may direct as a result of its oversight and evaluation responsibilities.



Department of the Interior

Senior Executive Service Recertification Determination

Recertification period from _____ to _____

Executive Name

Bureau

Position Title

Current Pay Rate

Standard for Recertification

1. The career appointee must perform at the level of excellence expected of a senior executive. Excellence is a term from the statute. It is not a synonym for an "Excellent" rating, nor is it the same level of achievement as for Presidential rank awards. Excellence means that the member has demonstrated over the recertification period that he or she has achieved excellence in:
 - a. Planning for, substantially advancing, and attaining Presidential, agency, or organizational goals and objectives that required a sustained superior effort.
 - b. Taking specific initiatives that advanced a major policy and/or significantly improved delivery of services.
 - c. Taking the necessary actions to ensure the achievement of a quality product in a timely manner.
 - d. Making significant technical, scientific, or professional contributions.

2. If applicable to the responsibilities of the senior executive, excellence is also demonstrated by:
 - a. Achieving substantial savings in the execution of programs under his or her direction.
 - b. Maintaining the high quality and effectiveness of programs under his or her direction with reduced resources.
 - c. Providing strong leadership to enhance the development, utilization, and achievement of subordinate personnel, including achievement of equal employment opportunity goals.

DI-1970
(JUNE, 1991)

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New

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The following decision and recommendations are based on an assessment of the executive's overall performance during the recertification period in relation to the above standard for recertification stipulated in law, regulation, and Departmental written procedures and include consideration of the executive's performance ratings, awards, and developmental activities.

Supervising Official's Recommendation:

Recertify _____ Conditionally recertify _____ Not recertify _____
Recommend pay adjustment to ES- _____ No pay rate adjustment recommended _____

Supervising Official's Signature and Title Date

Executive's Acknowledgement of Supervising Official's Recommendation:

_____ I have received a copy of my supervising official's recommendation and wish to submit a statement of accomplishments to the Performance Review Board.
_____ I have received a copy of my supervising official's recommendation and do not wish to submit a statement of accomplishments to the Performance Review Board.

Executive's Signature Date

Performance Review Board (PRB) Recommendation:

Recertify _____ Conditionally recertify _____ Not recertify _____
Recommend pay adjustment to ES- _____ No pay rate adjustment recommended _____
Appearance before the PRB: _____ Date _____ Declined Appearance

PRB Chairperson's Signature Date

Executive Resources Board Decision :

Recertify _____ Conditionally recertify _____ Not recertify _____
Recommend pay adjustment to ES- _____ No pay rate adjustment recommended _____
Appearance before the ERB: _____ Date _____ Declined Appearance

Secretary's Signature Date

Guidelines for the Preparation of Executive Resource Plans

Any requests for additional SES, GS Supergrade, or PL 313 positions or for the reprogramming of any of these authorizations must be accompanied by the attached OPM Form 1450 (Illustration 1 to this Appendix). The following instructions are those issued by OPM for the justification of any additional positions falling into the above categories. In those cases where more than one authorization is requested, the appropriate Assistant Secretary or equivalent official should provide a priority ranking among the various requests. This same format will be used for the Biennial Request.

Instructions for Position Justification

1. SES Positions. The following information must be submitted on each position for which an SES position authorization is being requested:

A. A current (or proposed) organization chart which shows (1) the location of the proposed position and all other existing, planned or proposed executive positions in the Department's top management structure, (2) the present appointment authority and grade (or level) of positions presently established and being proposed for establishment as SES; and (3) all subordinate units that will be reporting directly to the proposed position and the grade or level of all subordinate unit heads.

B. A description of the duties and responsibilities of the proposed position which includes (1) total dollar amount of funds allocated to (or budgeted for) the programs and projects managed or controlled by the position, and (2) some indication as to the criticalness or priority of such programs or projects; e.g., established by new legislation, new Administration initiative, top Departmental priority, etc.

C. A brief analysis of the grade-controlling duties and responsibilities which make the position classifiable above the GS-15 level.

D. If an SES authorization is being requested for a nonmanagerial position, the justification must include clear and specific evidence that the position meets the SES criteria set forth in 5 U.S.C. 3132(a)(2). Specific factors to be addressed would include (1) relationships with top management, (2) role in policy determination and implementation, and (3) impact of the position.

2. Non-SES Positions. The following information must be submitted for each non-SES position authorization requested:

A. A current (or proposed) organization chart which shows the location of the position. If the position is presently established and is being proposed for upgrading or establishment in a different pay system, the organization chart should show the present appointment authority, grade or salary level.

B. A description of the duties and responsibilities of the proposed position which clearly indicates why the position does not meet the criteria for SES.

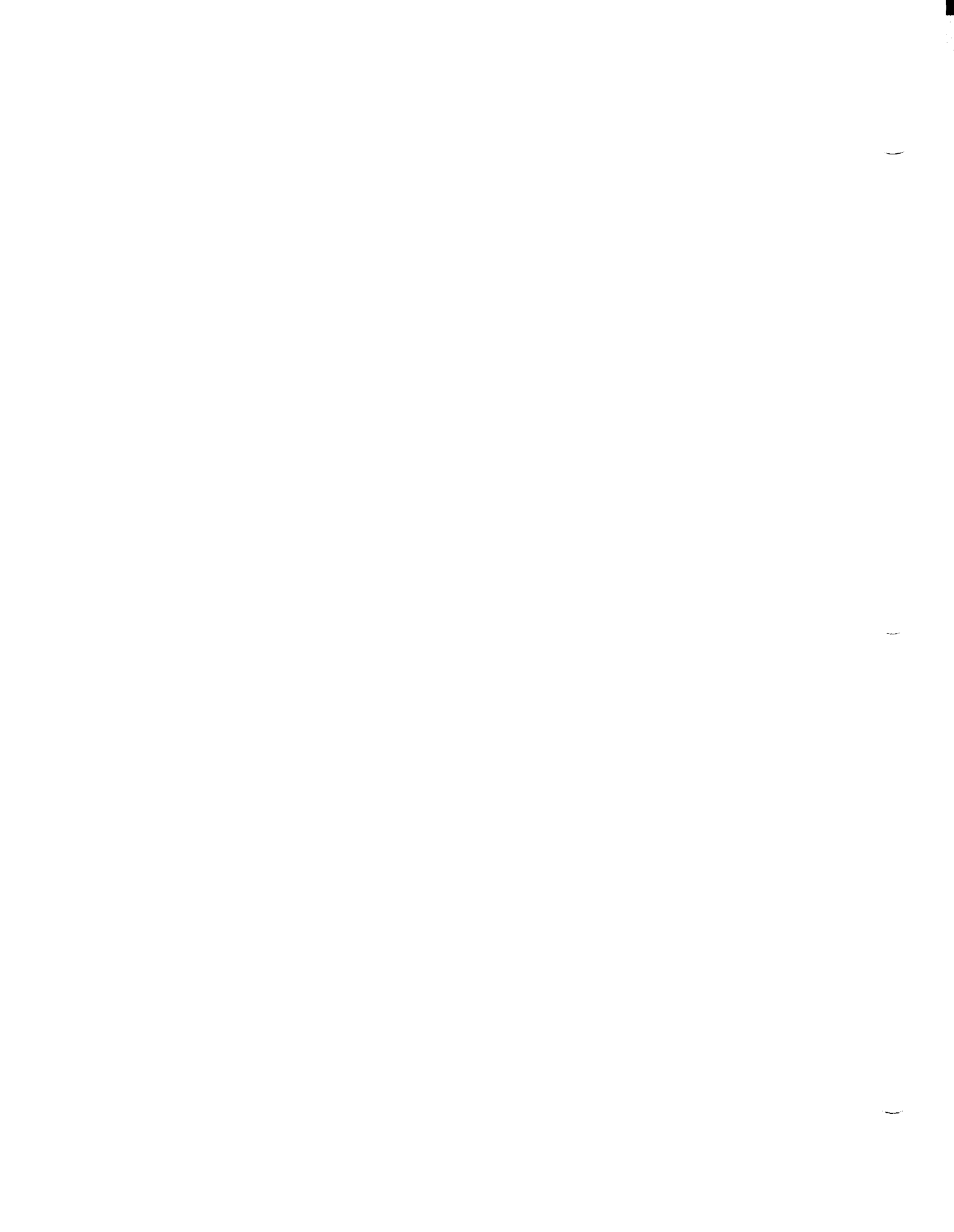
C. A brief analysis of the grade-controlling duties and responsibilities which make the position classifiable above the GS-15 level.

U.S. Office Of Personnel Management

JUSTIFICATION FOR EXECUTIVE POSITION AUTHORIZATION - FY _____

1. Name of Agency		2. Position Title and Organizational Location	
3. Type of Position <input type="checkbox"/> SES Career Reserved <input type="checkbox"/> SES General <input type="checkbox"/> GS 16-18 <input type="checkbox"/> ST (Authorized Under 5 USC 3104) <input type="checkbox"/> Managerial <input type="checkbox"/> Supervisory <input type="checkbox"/> Other		4. Number of Professional Positions Supervised <input type="checkbox"/> Executive (SES, GS-16 or above, and equivalent) <input type="checkbox"/> GS-15 <input type="checkbox"/> GS-14 <input type="checkbox"/> GS-13 <input type="checkbox"/> Other	

POSITION JUSTIFICATION



SES Staffing Requirements (Initial Career Appointments)

The Civil Service Reform Act provides in Title 5 U.S.C.3393 certain requirements for career appointments in the Senior Executive Service. OPM states that, "...an indication of which candidates are best qualified and a brief (written) rationale for their being considered as such should be provided to the selecting official. Information on ineligible or candidates not in the best qualified group need not be provided."

Based on the above, each rating and ranking panel reviewing candidates for career appointments in SES should prepare or endorse a brief written statement on each candidate referred to the selecting official. In those cases where there are five or fewer qualified candidates, all should be referred to the selecting official with a brief statement on each candidate.

Once the selecting official has made a selection, the case file submitted to the Assistant Secretary - Policy, Budget and Administration must contain a copy of the certificate and the brief evaluative statement on each candidate on the best qualified list.

The following is a listing of the Departmental requirements for initial career appointments:

- A one page biographical summary of the candidate proposed; (please indicate current salary and/or grade and step)
- A brief summary of the recruitment and staffing process. This should include the names and titles of the panel members;
- A copy of the certificates;
- A copy of the brief evaluations of the candidates referred to the selecting official; and
- A copy of the proposed Individual Development Plan for the nominee (see 370 DM 412).

In addition to the above Departmental requirements, OPM requires a certification of the (managerial) Executive Qualifications by a Qualification Review Board (QRB) for initial career appointments to the SES. The following is a statement of OPM guidance:

Executive Qualifications. Executive qualifications are defined in terms of competence to assume leadership responsibilities in the following activity areas broadly applicable to executive positions throughout the Senior Executive Service:

- (1) Integration of Internal and External Program/Policy Issues.
- (2) Organizational Representation and Liaison.
- (3) Direction and Guidance of Programs, Projects or Policy Development.
- (4) Resource Acquisition and Administration.
- (5) Utilization of Human Resources.
- (6) Analysis and Review of Implementation and Results Achievement.

The QRB certification process will focus upon a review of documentation of a candidate's scope and quality of work experiences, accomplishments and/or potential relevant to exercising executive leadership through managing and/or participating in the foregoing activity areas. Agencies are encouraged to incorporate these activity areas into their position qualification standards and into selection guides for SES positions. In this way, agency selecting officials will review the same executive qualifications information that QRB's consider.

Executive positions differ in the nature and degree of their demands for executive competencies. Some positions, for instance, may make high demands in regard to organizational representation and have relatively little need for skill in resource acquisition; other positions could have the reverse emphasis. SES members need not be qualified to undertake equally well every SES position and therefore, need not be optimally qualified in every activity area. It is the responsibility of the employing agency to assure that an individual meets the requisite qualifications for appointment or assignment to a specific SES position. The QRB, on the other hand, must assure itself that a candidate for entry into SES possesses sufficient breadth and depth of executive qualifications to be able to assume a variety of SES assignments. An individual, for example, with qualifications (experience, training or potential) covering only a few executive activity areas would not meet SES certification requirements.

Submission of Request for Certification to the QRB. The submission should include these items:

Executive Personnel Transaction Form (OPM 1390);

For candidates from outside government only, a Personal Qualifications Statement (SF-171) and any agency supplemental executive qualifications form required to be completed by the candidate;

Qualifications standard for the position or group of similar positions to which appointment is proposed or for the group of target positions toward which the OPM approved executive development program is directed, when certification of a successful executive development program participant is proposed.

Statement that the Executive Resources Board has reviewed the candidate's qualifications and that the Department finds the candidate meets the qualification standard or in the case of advance certification, that the Department finds that the candidate has the necessary competence in executive activity areas.

Brief written evaluation of the proposed appointee's background in support of the recommendation for approval of his or her executive qualifications. The evaluation statement should include the following information:

(1) Identification of one or more of the criteria listed in 5 U.S.C. 3393(c)(2) on which the recommendation for certification is based; and

(2) Information about the individual's background which supports the Department's evaluation. This must be based on the identified criteria and should provide the types of information listed below:

For Criteria (a), (Demonstrated Executive Experience).

Executive activity areas in which the individual has experience should be identified. References from persons able to evaluate past executive success in the activity areas listed should also be attached.

For Criteria (b), (Successful Participation in an OPM-Approved Executive Development Program).

The program and the date OPM approved it (or the FEDP program attended) should be identified. The dates of the individual's participation in the program should be included. The agency should state that all developmental activities were satisfactorily completed, and that the quality of performance in developmental activities indicates that the individual possesses the necessary competencies.

For Criterion (c), (Special or Unique Qualities Indicating the Likelihood of Executive Success).

The Department should discuss what executive qualifications the candidate possesses, the special or unique qualities of the individual (and how they were identified)

and the developmental activities planned for the candidate during the probationary year. The Department must also submit references from persons with knowledge of the individual's executive potential in the activity areas listed below.

Assessment center reports, verified supplemental qualifications statements or structured interview reports may supplement references. Criterion (c) may normally be used only when the individual could not reasonably be expected to have participated in an approved executive development process.

Six Activity Areas

This is to provide information on the scope and content of the six activity areas that provide the focus for QRB review of executive qualifications. The listing of elements for each activity area is not meant to be exhaustive, but illustrative; nor is it expected that an individual will be a subject matter expert in these activities. What is required in each of these areas is that the individual candidate's record--experience, education, accomplishments, and/or potential--be indicative of competence to provide leadership for the accomplishment of these activities.

1. Integration of Internal and External Program/Policy Issues. This area involves seeing that key national and agency-wide goals, priorities, values and other issues are taken into account in carrying out the responsibilities of the immediate work unit, including:

- Responsiveness to the general public and clientele groups
- Keeping up-to-date with relevant social, political, economic and technological developments
- Coordinating with other parts of the agency and other agencies as relevant
- Understanding the role of political leadership in the Administration and Congress

2. Organizational Representation and Liaison. This area covers functions related to establishing and maintaining relationships with key individuals and groups outside the immediate work unit and serving as a spokesperson for one's unit and organization. Types of actions generally required to carry out these functions include:

- Briefings, speeches, congressional testimony, inter-unit staff meetings, professional society presentations, question-and-answer sessions, etc., involving information giving and receiving, recommendations, persuasion, selling, negotiation, and program defense.

3. Direction and Guidance of Programs, Projects, or Policy Development. This area involves activities related to establishing goals and the structure and processes necessary to carry them out. These include:

- long-term and short-term planning; needs, forecasts, objectives, priorities, feasibility, options
- productivity and other effectiveness-efficiency standards
- information gathering and analysis
- research and development
- work organization structure and operational procedures
- scheduling and work assignment

4. Resource Acquisition and Administration. This area concerns procedures and activities related to obtaining and allocating the resources necessary to support program or policy implementation. These include:

- staffing: workforce planning, recruitment and selection, including affirmative action and EEO
- budgeting: organizational and congressional procedures and processes
- procurement
- contracting

5. Utilization of Human Resources. This area involves processes and activities for seeing that people are appropriately employed and dealt with fairly and equitably. These include:

- assessment of individual capabilities and needs
- delegation of work
- provision for career development opportunities
- performance standards and appraisals
- EEO and other government-wide personnel utilization programs

6. Review of Implementation and Results. This area involves activities and procedures for seeing that plans are being implemented and/or adjusted as necessary and that the appropriate results are being achieved. These include:

- periodic monitoring and review
- program evaluation

Evaluations related to the above activity areas should be inclusive enough so as to permit QRB's to make decisions without reference to the S.F. 171's and related material.

SES Staffing Requirements (Other than Initial Career Appointments)

All SES staffing proposals other than initial career appointments must contain the following:

- A transmittal memorandum addressed to the Assistant Secretary - Policy, Budget and Administration from the submitting office through the appropriate Assistant Secretary. This memorandum should briefly state the nature of the request. On any cases involving the appointment or reassignment of noncareer appointees to the SES the memorandum should be addressed to the Secretary through the Assistant Secretary - Policy, Budget and Administration and other offices as appropriate.
- A copy of OPM Form 1390 filled out as appropriate. On any actions involving noncareer members of the SES the approving official is the Secretary and this should be indicated under Agency Remarks.
- A one page biographical summary of the individual involved.
- A brief summary of the Qualification Requirements of the position.
- A brief analysis of the individual's qualifications for the position.
- An approval line on the transmittal memorandum for the Assistant Secretary- Policy, Budget and Administration or for the Secretary on those actions involving the appointment or reassignment of noncareer members of the SES.

Individual Development Planning.

1. Individual Development Plans (IDP's) are required for all SES incumbent and candidate employees who meet the criteria in 370 DM 920, 10.1E. An IDP is an annually prepared schedule of developmental experiences including both work assignments and formal training. The plan must be designed to meet specific developmental objectives, determined jointly by the individual and the supervisor, which is coordinated with the performance appraisal cycle and which focuses on enhancement of existing competencies and/or correction of performance deficiencies identified in the performance appraisal process. Individual development planning also serves to prepare SES members, other executives and candidates for future assignments. The individual development planning process begins with an assessment of the employee's developmental needs in terms of the knowledges, skills and abilities required for an SES or other executive position, the organization's executive workforce needs and the individual's career development goals.
2. The IDP developed by the SES incumbent, senior executive or candidate and his/her supervisor will be sent to the bureau training officer for signature and appropriate action. The bureau or office training officer will retain the original IDP and send copies of the approved plan to the employee and his/her supervisor. One copy will be placed in the employee's performance folder and another forwarded to the Director of Personnel, Attention: Executive Personnel Staff.

The format in Appendix D, Illustration 1, of this Chapter will serve as the IDP for all members of the SES and participants in SES Candidate Development Programs (SESCDP). When completing the IDP, the following instructions apply to the format on page two. Page one is self-explanatory, except for "Remarks" which may be used for explanatory statements, as necessary.

Column 1 - List separately each competency identified as needing improvement or updating. Six activity areas that provide the focus for review of executive competencies are identified in 370 DM 920, Appendix B, page 4.

Column 2 - Name of source from which the needed competency was identified, e.g., knowledges, skills and abilities used in the evaluation process; supervisor/employee discussion on performance, etc.

Column 3 - List the mechanism by which the identified need will be satisfied. Bureau training officers are available to assist in identifying developmental work assignments and/or formal training sources.

Column 4 - Include the total cost of tuition, books, travel and per diem.

Column 5 - Show the target date and actual completion date of the assignment or training.

Column 6 - As needed.



DEPARTMENT OF THE INTERIOR
 INDIVIDUAL DEVELOPMENT PLAN
 SENIOR EXECUTIVE SERVICE

NAME OF EMPLOYEE	PRESENT POSITION TITLE	SERIES AND GRADE/RATE	ORGANIZATION AND LOCATION
------------------	------------------------	-----------------------	---------------------------

TARGET CAREER GOALS

REASONS FOR PREPARING IDP

- () ANNUAL REQUIREMENT () INITIAL EXECUTIVE ASSIGNMENT () PROMOTION OR REASSIGNMENT
 () DESIGNATED AS SES CANDIDATE () OTHER SPECIFY

REMARKS

SIGNATURE OF EMPLOYEE	DATE	SIGNATURE OF SUPERVISOR	DATE	SIGNATURE OF TRAINING OFFICER	DATE
-----------------------	------	-------------------------	------	-------------------------------	------

SENIOR EXECUTIVE SERVICE IDP

<u>MANAGEMENT AND EXECUTIVE COMPETENCIES NEEDED</u> (Identify each competency needing improvement or update. See 370 DM 920, Appendix B, for guidance in identifying six activity areas).	<u>SOURCES OF NEED IDENTIFICATION</u> (Identify source of need, e.g., performance evaluation, 171, etc.)	<u>DEVELOPMENTAL MECHANISM A. ASSIGNMENTS B. TRAINING OR OTHER METHODS</u> (Identify mechanism to satisfy development need, e.g., work assignment, formal training course, etc.)	<u>ESTIMATED COSTS</u> (Include tuition, books travel and per diem)	<u>DATE TARGET COMPL'D</u> (Specify target and actual completion dates)	<u>REMARKS</u> (As needed)

Employee Name _____

Developmental and Formal Training Activities.

1. Executive abilities are enhanced by gaining executive experiences in a variety of progressively more responsible positions. SES members and candidates in development programs should analyze their needs and devise IDP's that emphasize and reflect work assignments as one of the principal means of developing executive abilities and competencies. Identifying developmental needs is the essential first step in this process, but equal care must be used in selecting resources for the identified learning experience. This is especially true when considering developmental work assignments because work situations are usually less controlled than formal class settings. A developmental work assignment should not be arranged without the appropriate planning which ensures that the host organization will be prepared to provide the desired work experience. These arrangements are best confirmed in writing. Developmental work assignments should be documented on Standard Form 182 ("Request, Authorization, Agreement, and Certification of Training"), indicating the nature and objective of the intended experience. When developmental work assignments are completed for SES incumbents, new appointees or candidates, the completed forms are forwarded to the appropriate servicing personnel office (attention: training officer). Completed copies of Standard Form 182 must be forwarded to the Director of Personnel, Attention: Executive Personnel Staff.
2. Developmental work assignments can be within or outside the Department which may vary in terms of length and usually include: details, task force and committee memberships, understudy and special assistant roles, rotational assignments and personnel exchanges. Assignments may be made from one region to another; from Washington to a field station and from the field to Washington. The Intergovernmental Personnel Act of 1970, 370 DM 334, provides for assignments to State governments and universities. For additional information also refer to 370 DM 920, 4.5 on detail assignments.
3. Group formalized training programs are available from Government and non-Government sources. When warranted by collective needs, special programs for SES executives and/or candidate participants will be developed at the Department level. The Office of Personnel Management (OPM) sponsors courses or programs of interest to executives in many locations, including the Federal Executive Institute at Charlottesville, Virginia, and the Executive Seminar Centers at Kings Point, New York; Oak Ridge, Tennessee; and Denver, Colorado. In addition, OPM's Washington-based training programs can provide many specialized opportunities. Many colleges and universities offer excellent executive training programs. Evening classes and special group arrangements at Federal installations can also be provided. Bureau training staff can provide guidance relative to the selection of appropriate and available training resources.



Department of the Interior
SES CONTINUED SERVICE AGREEMENT
(Sabbatical Program)

I, _____, agree as a condition of accepting the sabbatical,
(typed name)

to serve in the Federal Civil Service upon completion of the sabbatical for a period of two consecutive years. I further agree that if I fail to carry out this agreement (except for good and sufficient reasons as determined by the Secretary), I am liable to the United States for payment of all expenses (including salary) of the sabbatical. The amount shall be treated as a debt due the United States.

Signature _____

Date _____

Organization _____

Title _____



Department of the Interior
FORMAT FOR SABBATICAL PROPOSALS

Name of Applicant

Title, Series and ES Level

Bureau/Office

Telephone Number

Date of Birth

Service Computation Date

Sabbatical Objectives. State concisely and in measurable terms.

Describe in detail the developmental experiences or activities planned to accomplish the stated objectives. Project anticipated results of the study or research. Include the estimated dates (begin - end); names of individuals who will guide, assist and/or supervise the study or project; and cooperating institutions and organizations, if any, and their locations.

Explain how the sabbatical will benefit the executive.

Progress Reports. Indicate the type of reports that will be submitted and dates they will be forwarded. Schedule evaluation reports to coincide with major milestones of proposal.

Estimate expenses that will accrue to the bureau/office which include: salary, travel, per diem, etc.

Attach

1. Completed Individual Development Plan (IDP).
2. Signed "Department of the Interior SES Continued Service Agreement."
3. Endorsements by immediate supervisor, bureau/office head and Assistant Secretary.
4. Plan for filling vacancy during SES member's absence and assignment plan following SES employee's return from the sabbatical experience.





United States Department of the Interior

OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20240

Memorandum

To: (Executive's Supervisor)
From: Director of Personnel
Subject: Probationary Period - Senior Executive Service (SES) Employee

This is to call to your attention the fact that _____
has been appointed subject to a one-year probationary period which will expire on
_____.

The purpose of the probationary period is to serve as a final and highly significant step in the selection process. It provides the final assessment test, that of actual performance on the job, which no preliminary selection method can approach in validity. As the executive's supervisor you are responsible for observing and evaluating employee performance, furnishing guidance and developmental opportunities and initiating such administrative action as may be warranted. This responsibility is particularly significant with regard to those employees who are serving in a probationary period. There is no Office of Personnel Management (OPM) authority to permit an extension of the one year period.

The supervisor of each executive serving a probationary period must, not earlier than the beginning of the ninth month nor later than the end of the tenth month of such period, submit through supervisory channels a signed statement certifying either that the employee's performance has been found satisfactory or unsatisfactory. Each such certification shall contain a recommendation as to whether the employee should be retained beyond the probationary period or released from the SES. In addition, the supervisor must submit to the Director of Personnel, through the appropriate personnel office and Performance Review Board (PRB), a completed Performance Appraisal Document (DI-1887) and Individual Development Plan (IDP) on the SES career appointee.

For your convenience in completing the required documentation and certification, your servicing personnel office will advise you when the above employee has completed nine months of service and will provide forms for your use in submitting the performance appraisal and certification recommendation.



United States Department of the Interior

OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20240

SAMPLE

(Name)
(Title)
(Address)

Dear Mr./Ms.:

It gives me great pleasure to congratulate you upon your appointment to the career Senior Executive Service (SES).

Please note that you will be required to serve a one-year period of probation. Also, the measurement of your performance against standards cooperatively developed with your supervisor will be designed to encourage you to strive towards greater productivity and excellence. Performance appraisal standards should be submitted within 120 days of your appointment. Rewards such as bonuses, Presidential rank and others are available to executives who significantly exceed performance expectations.

An additional benefit available to SES members is the provision that annual leave may be accrued without limit for the period of time that you remain in the SES. However annual leave in excess of your maximum accumulation level (usually 240 hours) which accrued prior to your entry into the SES and which has not been used in the current leave year is subject to forfeiture and possible restoration under certain conditions.

To enhance your orientation to and familiarity with the SES, you will be invited to attend a Department sponsored, 3-4 hour, orientation session for probationary executives within the next few months. You will also be provided copies of the following materials by the Executive Personnel Staff:

1. Manager's Handbook
2. Senior Executive Service (a brochure published by the Office of Personnel Management (OPM))
3. Revised Department of the Interior Senior Executive Service Performance Appraisal Manual

An examination of this material should answer most of the questions you may have about the advantages and opportunities available to you through SES membership. If you have questions about SES or the material provided, please feel free to call me or your servicing personnel officer.

Sincerely,

Morris A. Simms
Director of Personnel

Enclosures



United States Department of the Interior

OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20240

Memorandum

To:

Through: Personnel Officer _____

From: Director of Personnel

Subject: Certification of Probationary Period of Senior Executive Service (SES)
Career Appointee, _____

Your attention is called to the fact that the subject executive has served nine months of his/her probationary period. Under 370 DM 920, 5, the supervisor must complete a performance appraisal evaluating the performance of each probationary employee. This may be done by completing the format below (with attachments) and submitting them through the appropriate supervisory channels to the Office of Personnel not later than the end of the tenth month of the probationary period.

Probationary SES Employee
Performance Appraisal and Certification

_____ Probationary Period: From _____ To _____

A. Statement of Certification
(Complete either Block 1 or 2)

Block 1 () _____

I hereby certify that the above named SES employee successfully completed the probationary period based on Fully Successful or above performance of the skills evaluated during the probationary period.

Signature of Supervisory Official

Date

Block 2 () _____

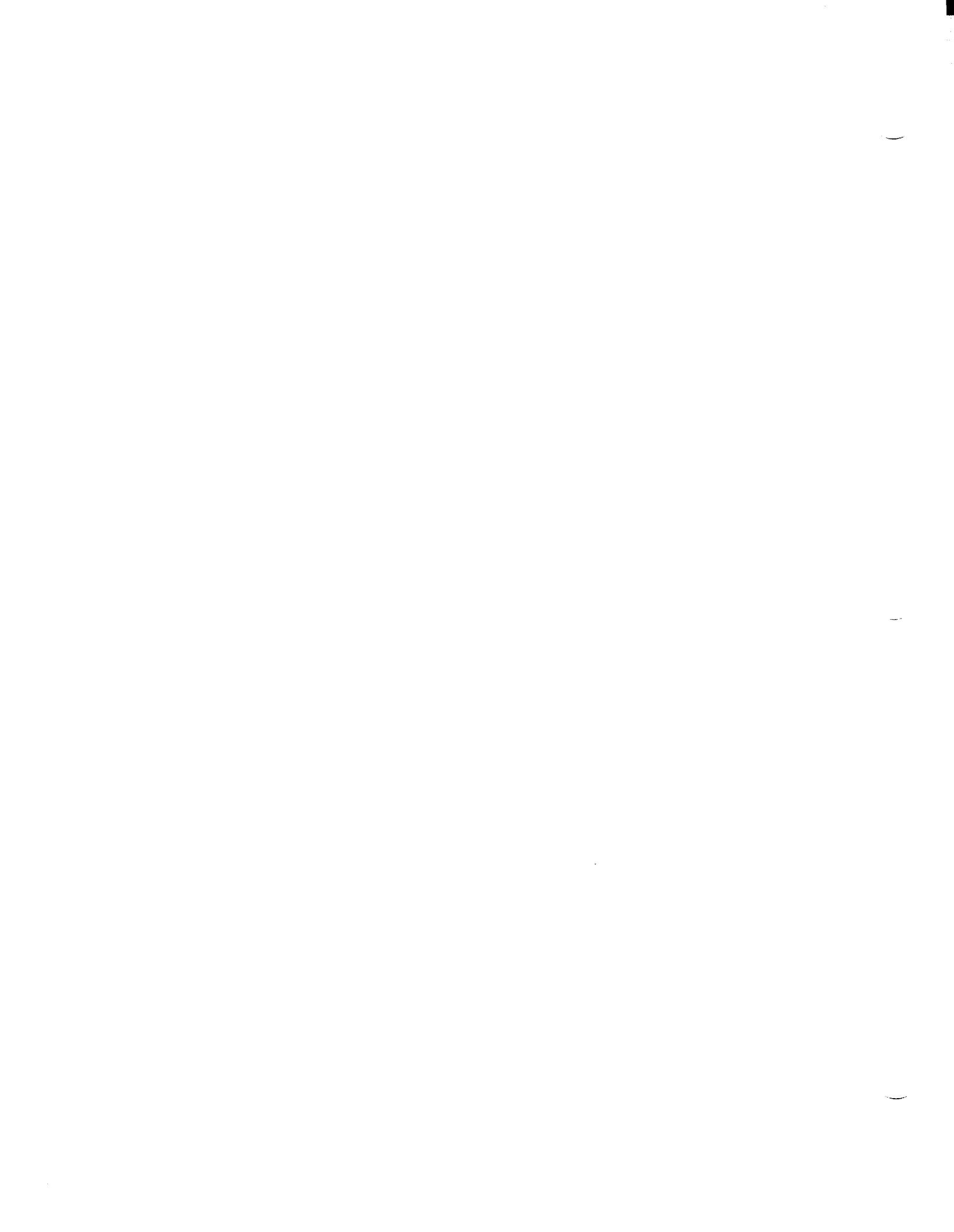
I hereby certify that the above named SES employee failed to successfully complete the probationary period based on Minimally Satisfactory or Unsatisfactory performance of the skills evaluated during the probationary period.

Signature of Supervisory Official

Date

B. Performance Appraisal Documentation

(Attach completed Performance Appraisal Form (DI-1887) and Individual Development Plan (IDP) through appropriate channels.)



Instructions for Deriving Ratings for Individual Elements and for the Conversion of Element Ratings into a Summary Rating Level for Senior Executives

In the appraisal of Senior Executive Service (SES) employees' performance against cooperatively developed performance elements, it is necessary to form a judgment as to the quality, quantity, timeliness or manner in which the element tasks were performed. Normally, the measures of quality, etc., are expressed in the performance standards which may vary from element to element in terms of specificity. The role of the appraiser or evaluator is to decide whether the task was completed and if so, how well the job was done. Having made this judgment, it is necessary to affix labels to performance against individual elements which are provided in the SES Performance Appraisal System. Then it is necessary to derive from the collective assessment of individual elements a composite rating which is called the summary rating level. The following illustrates the process to be employed:

I. One-Level Performance Standards

A. Assignment of Ratings. Assign one of the following three rating to each critical and required element:

- o Exceeds acceptable
- o Fully acceptable
- o Unacceptable

B. Deriving Summary Ratings. In reviewing the ratings assigned to all of the elements in the performance plan, when performance is rated:

- o "Exceeds acceptable" for all critical and all required elements convert to a Summary Rating of "Outstanding - Level 5"
- o "Exceeds acceptable" for all critical and most required elements convert to a Summary Rating of "Exceeds Fully Successful - Level 4"
- o A minimum of "fully acceptable" for all critical and all required elements convert to "Fully Successful - Level 3"
- o "Fully acceptable" for all critical elements and no more than one required element is rated as unacceptable convert to "Minimally Satisfactory - Level 2"
- o "Unacceptable" for at least one critical element convert to "Unsatisfactory - Level 1"

II. Two or Three-Level Performance Standards.

A. Assignment of Ratings. Assign one of the following five ratings to each critical and required element:

- o Far exceeds acceptable
- o Exceeds acceptable
- o Fully acceptable
- o Minimally acceptable
- o Unacceptable.

B. Deriving Summary Ratings. In reviewing the ratings assigned to all of the elements in the performance plan, consider that each critical element carries equal weight and that critical elements weight twice as much as required elements. The conversion process requires the evaluator to make the judgment that when performance is rated as follows:

- o On an overall basis, total performance far exceeded acceptable convert to a Summary Rating of "Outstanding - Level 5"
- o On an overall basis, total performance exceeded acceptable convert to "Exceeds Fully Successful - Level 4"
- o On an overall basis, total performance was fully acceptable convert to "Fully Successful - Level 3"
- o On an overall basis, total performance was minimally acceptable convert to "Minimally Successful - Level 2"
- o Performance was unacceptable in one or more critical elements convert to "Unsatisfactory - Level 1"

III. Recording of Summary Rating Levels.

A. Career Senior Executive. Indicate the summary rating level derived through the application of I or II above and record the narrative and numerical description on the DI-1887 in the space provided (see 5.1H and Illustration 2 to this Chapter).

B. Noncareer Senior Executives. Indicate the summary rating level derived through the application of I or II above and record the narrative and numerical description on the DI-1888 in the space provided (see 5.1H and Illustration 3 to this Chapter).

DEPARTMENT OF THE INTERIOR
NOTIFICATION OF EXECUTIVE RECRUITMENT

POSITION TITLE	Type of Position	Interior Number
	SES (G) CR	DIES
ORGANIZATIONAL LOCATION:	GS Supergrade	DIGS
	PL 313	DIST
Date Position Vacated (Attach OPM Form 1390 for last incumbent)	OCCUPATIONAL SERIES:	
Estimated Selection Date:		

The following should be indicated or attached:

- A. Vacancy Announcement (Attach): Vacancy announcements may not be issued until request is approved by the Assistant Secretary-Policy, Budget & Administration for the ERB.
- B. Summary of Vacancy Announcement (Attach): It is the responsibility of the Servicing Personnel Office to provide OPM with the needed SES Vacancy Announcement material (25 words or less, submit to OPM by 1:00 p.m. the Wednesday before publication).
- C. Applicant Rating Schedule (Attach):
- D. Rating Criteria (Attach):
- E. Qualifications Requirements (Attach): Indicate Managerial and Technical requirements.
- F. Rating Panel Members: Indicate names of panel members or the name of the individual who will provide the names. At least three members; no more than two from the Office/Bureau with the vacancy.
- G. Sources of Potential Candidates (Attach list if recruitment is for All Qualified Persons):
- H. Additional Recruitment sources for underrepresented groups (Attach list):
- I. Position Description (check) (if position is new, over five years old, or materially modified attach evaluation statement and organizational chart):

_____ New position _____ Redescription _____ Current certification

REMARKS: Please include any additional information on this position not covered above.

OFFICIAL AND TITLE:	DATE
APPROVED FOR THE EXECUTIVE RESOURCES BOARD	DATE



**United States
 Department of the Interior**

**INDIVIDUAL SENIOR EXECUTIVE PERFORMANCE APPRAISAL
 CAREER APPOINTEE**

Executive Name		Type of Appointment	Date Plan Developed
Position Title		Pay Level	Executive Signature
Performance Period		Date of Appraisal	Rating Officer Signature
From	To		
Bureau or Office		Location	

PERFORMANCE REQUIREMENTS A. Critical Job Elements (Not to exceed 5) B. Required Job Elements	STANDARDS/OBJECTIVES AND/OR RESULTS TO BE ACHIEVED	ACTUAL ACHIEVEMENTS
SAMPLE		

DI-1887
 (Rev. 6-81)

INDIVIDUAL SENIOR EXECUTIVE PERFORMANCE APPRAISAL
CAREER APPOINTEE

Name _____ ES Level _____ Bureau _____
Position _____ Assistant Secretariat _____

SUMMARY RATING:

ON AN OVERALL BASIS, TOTAL PERFORMANCE:
Check One

- Outstanding Level 5 -Far exceeded performance standards \$ _____
- Exceeds Fully Successful Level 4 -Exceeded performance standards. \$ _____
- Fully Successful Level 3 -Fully met performance standards. \$ _____
- Minimally Satisfactory Level 2 -Marginally met performance standards. Performance requirements of critical elements were met. Corrective action proposed: Attached
- Unsatisfactory Level 1 -Failed to meet performance standards of one or more critical elements. Corrective action proposed: Attached

Proposed for ES Rate Change: ES- _____ to ES- _____

Executive Signature _____ Date _____

Supervisory Signature _____ Date _____

Reviewing Official's Signature _____ Date _____

Performance Review Board Recommendations

Summary Rating Recommendation: _____ Date _____

Bonus Recommendation: \$ _____

ES Rate Change Recommendation: ES- _____ to ES- _____

Comments:

Appointing Authority Endorsement

Summary Rating Decision: _____ Bonus Recommendation: \$ _____

ES Rate Change Recommendation: ES- _____ to ES- _____

(Signature) _____ Date _____

Comments:

Executive Resources Board Approval

Bonus Amount \$ _____

ES Rate Change Approved: ES- _____ to ES- _____

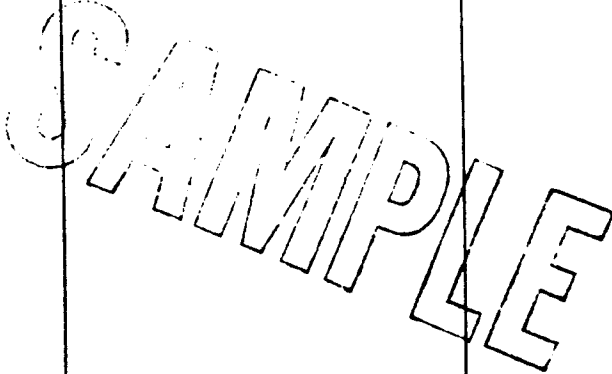
(Signature) _____ Date _____

Additional Comments or Counseling Summary (Including executive development needs)
Use additional sheets as necessary.

United States
 Department of the Interior

**INDIVIDUAL SENIOR EXECUTIVE PERFORMANCE APPRAISAL
 NON-CAREER APPOINTEE**

Executive Name		Type of Appointment	Date Plan Developed
Position Title		Pay Level	Executive Signature
Performance Period From _____ To _____		Date of Appraisal	Rating Officer Signature
Bureau or Office		Location	

PERFORMANCE REQUIREMENTS A. Critical Job Elements (Not to exceed 5) B. Required Job Elements	STANDARDS/OBJECTIVES AND/OR RESULTS TO BE ACHIEVED	ACTUAL ACHIEVEMENTS
		

DI-1888
 (Rev. 6-81)

INDIVIDUAL SENIOR EXECUTIVE PERFORMANCE APPRAISAL
NON-CAREER APPOINTEE

Name _____ ES Level _____ Bureau _____
Position _____ Assistant Secretariat _____

SUMMARY RATING:

ON AN OVERALL BASIS, TOTAL PERFORMANCE:
Check One

- Outstanding Level 5 -Far exceeded performance standards. _____
- Exceeds Fully Successful Level 4 -Exceeded performance standards. _____
- Fully Successful Level 3 -Fully met performance standards. _____
- Minimally Satisfactory Level 2 -Marginally met performance standards. Performance requirements of critical elements were met. Corrective action proposed: Attached _____
- Unsatisfactory Level 1 -Failed to meet performance standards of one or more critical elements. Corrective action proposed: Attached _____

Proposed for ES Rate Change: ES- _____ to ES- _____

Executive Signature _____ Date _____

Supervisory Signature _____ Date _____

Reviewing Official's Signature _____ Date _____

Performance Review Board Recommendations

Summary Rating Recommendation: _____ Date _____

ES Rate Change Recommendation: ES- _____ to ES- _____

Comments:

Appointing Authority Endorsement

Summary Rating Decision: _____

ES Rate Change Recommendation: ES- _____ to ES- _____ Date _____
(Signature) _____

Comments:

Executive Resources Board Approval

ES Rate Change Approved: ES- _____ to ES- _____ Date _____
(Signature) _____

Additional Comments or Counseling Summary (Including executive development needs).
Use additional sheets as necessary