



Performance Agreement and Appraisal Department of the Interior Senior Professionals (SL/ST)

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

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

Part I: Consultation

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

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

Part II: Progress Review

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

Part III: Annual Summary Rating

Rating Official: Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

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

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

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

Performance Review Board Recommendation:

Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

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

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

Recognition: _____% Pay Increase \$_____Special Act Award _____Hours Time Off

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

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

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

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

Minimally Successful - Performance is between the levels described for Fully Successful and Unsatisfactory. Overall performance was marginally acceptable. Assignments often required extra assistance or revision from supervisor or peers. Organizational goals were met only as a result of close supervision.

Unsatisfactory - Performance fails to meet established performance standards. The quality and quantity of work were not adequate for the position. Work products did not meet the minimum requirements expected, or the employee's work otherwise failed to contribute adequately to organizational goals.

Part IV: Rating Calculation

Reason for Rating Annual Rating Departure Rating Other _____

Mandatory Departmentwide Element

Element 1 Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Position-specific Elements

Element 2 Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Element 3 Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Element 4 Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Element 5 Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Element 6 Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Element 7 Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Conversion to Initial Summary Rating:

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

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

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

Part V: Performance Elements

Element 1: Mandatory Departmentwide Element (Fully Successful Standard)

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

Employee, Customer and/or Citizen Feedback:

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

Ethics and Conduct:

For Supervisory officials: Creates and sustains a positive workplace that inspires others to support the organization's mission and goals. Uses sound judgment to make effective and timely decisions. Demonstrates integrity and high ethical standards of public service. Exhibits a leadership style that demonstrates integrity, sound judgment and high ethical standards of public service. Motivates others to achieve high performance through open and honest communication

For Non-supervisory officials: Contributes to a positive workplace that supports the organization's mission and goals. Uses sound judgment to make effective and timely decisions. Demonstrates integrity and high ethical standards of public service. Models the Department's core values statement: "Stewardship for America with Integrity and Excellence." Fosters open and honest communications, trust and teamwork among peers.

If the employee encumbers a position with subordinates, the following apply:

Internal Controls:

Pursues business excellence through effective process management and the application of balanced measures. Develops and executes plans to achieve organizational goals, leveraging resources (human, financial, etc.) to maximize efficiency and produce high quality results. Ensures effective internal and management controls and takes appropriate action to strengthen controls or correct identified weaknesses. Responds appropriately to GAO, IG or other internal or external audit reports. Ensures that corrective action plans that fix the identified weaknesses are implemented. Advocates organizational integrity by maintaining personal knowledge of acceptable business practices and procedures. Identifies and reports waste, fraud, and abuse. Learns about current and emerging issues/developments in own field of expertise and applies knowledge to make technically sound operational decisions. Identifies and utilizes policies and economic, political, and social trends in an effort to improve organizational performance. Initiates actions and manages risks to develop new products and services within or outside the organization. Acts to continuously improve products and services.

Strategic Management of Human Capital:

Sets effective performance standards aligned with organizational goals and engages in rigorous and realistic performance management of subordinates. Effectively uses feedback, coaching and timely evaluations of performance to promote cooperation, teamwork, knowledge sharing, and goal accomplishment. Ensures that performance ratings provide for meaningful distinctions in performance. Appropriately recognizes and rewards performance. Demonstrates an understanding of and commitment to equal employment opportunity and associated goals established by the bureau or office. Ensures subordinate supervisors have effective managerial communication and interpersonal skills to supervise and develop a diverse workforce.

Mandatory Departmentwide Element (Cont'd)

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

Position-Specific Elements

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

Element 2: (Mandatory)

Link to Strategic Plan/Organizational Goals:

Performance Commitments (written at the Fully Successful level)

Element 3: (Mandatory)

Link to Strategic Plan/Organizational Goals:

Performance Commitments (written at the Fully Successful level)

Element 4:

Link to Strategic Plan/Organizational Goals:

Performance Commitments (written at the Fully Successful level)

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

Part VI: Accomplishments and Element Rating Justifications

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

Element 1: Mandatory Departmentwide Element

Employee's Summary of Accomplishments:

Element 1 Rating: Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Supervisor's Justification for Rating:

Element 2: (Mandatory)

Employee's Summary of Accomplishments:

Element 2 Rating: Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Supervisor's Justification for Rating:

Element 3: (Mandatory)

Employee's Summary of Accomplishments:

Element 3 Rating: Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Supervisor's Justification for Rating:

Element 4:

Employee's Summary of Accomplishments:

Element 4 Rating: Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Supervisor's Justification for Rating:

Element 5:

Employee's Summary of Accomplishments:

Element 5 Rating: Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Supervisor's Justification for Rating:

Element 6:

Employee's Summary of Accomplishments:

Element 6 Rating: Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Supervisor's Justification for Rating:

Element 7:

Employee's Summary of Accomplishments:

Element 7 Rating: Exceptional Superior Fully Successful Minimally Successful Unsatisfactory

Supervisor's Justification for Rating:

Privacy Act Notice

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

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