



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



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

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

### Part I: Consultation

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

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

### Part II: Progress Review

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

### Part III: Annual Summary Rating

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

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

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

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

#### Performance Review Board Recommendation:

Exceptional    Superior    Fully Successful    Minimally Successful    Unsatisfactory

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

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

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

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

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

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

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

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

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

## Part IV: Rating Calculation

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

### Mandatory Departmentwide Elements

Element 1       Exceptional       Superior       Fully Successful       Minimally Successful       Unsatisfactory

Element 2       Exceptional       Superior       Fully Successful       Minimally Successful       Unsatisfactory

### Position-specific Elements

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

Element 8       Exceptional       Superior       Fully Successful       Minimally Successful       Unsatisfactory

### Conversion to Initial Summary Rating:

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

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

If plan has 8 elements total, 75% = 6 elements; 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

## **Part V: The Performance Elements**

*All Interior executives share certain critical responsibilities that are instrumental for achieving results. Set forth below, Mandatory Department-wide Elements 1 and 2 reflect the core competencies of Department executives—what is important to Interior as an organization. These Mandatory Department-wide responsibilities guide the achievement of the incumbent's Position-Specific Elements (Elements 3-8). The Executive and immediate supervisor jointly review all elements at the beginning of the rating period and during at least one mid-term progress review to ensure mutual understanding of performance expectations.*

### **Element 1: Mandatory Department-wide Executive Responsibilities—Leadership, Employee Perspective, and Collaboration (Fully Successful Standard)**

**Strategic Alignment:** Develops, prioritizes and aligns strategies, objectives and goals, taking into account key influences on organizational performance. Successfully leads organizational change to achieve Secretarial initiatives and high priority goals, effectively communicating the organization's mission, core values, and strategic goals to employees and stakeholders. Engages stakeholders and employees in change efforts, problem solving, streamlining, and/or reengineering of processes or procedures to improve organizational effectiveness.

**Leadership, Integrity and Effective Supervision:** Creates and sustains a positive workplace that promotes employee engagement to support Interior's high priority performance goals and Secretarial initiatives. Exhibits leadership style that demonstrates integrity and high ethical standards of public service. Motivates others to achieve high performance through open and honest communication. Promotes a learning organization through feedback and coaching; required employee development plans; access to training; and timely completion of all mandatory training (ethics, security, etc.) Establishes and maintains a culture of professionalism and integrity where employees are treated with dignity and respect. Fosters inclusion, creativity, innovation, initiative, risk-taking, and trust among employees and peers. Implements recruitment, retention and developmental strategies that support organizational objectives, agency hiring goals and successful transition of highly qualified employees into Federal service, and workforce and succession planning to develop the next generation of leaders. Sets effective workforce performance standards aligned with organizational goals and engages in accountable performance management of subordinates. Uses feedback, coaching and timely evaluations of performance to promote teamwork and goal accomplishment. Provides appraisals that make meaningful distinctions in performance of subordinates. Appropriately recognizes and rewards performance of subordinates. Advocates a safe and healthy workplace by promoting awareness of appropriate policies, practices and procedures to avoid preventable injuries and loss of work.

**Diversity Advocacy and EEO:** Promotes an inclusive workplace, recognizing differences and varied perspectives; is a role model for inclusion, acceptance, and accountability; provides fair and equitable recognition and equal opportunity, and promptly and appropriately addresses allegations of harassment or discrimination. Demonstrates a commitment to equal employment opportunity and implements the EEO and affirmative employment goals. Makes employment decisions without regard to sex, race, color, national origin, religion, age, disability, sexual orientation or identification, prior participation in the EEO process, or any other non-merit reason. Ensures subordinate supervisors have effective managerial, communication and interpersonal skills to supervise and promote a diverse workforce. Actively supports policies on anti-harassment and reasonable accommodation.

**Element 1: Executive Provides Highlights of Accomplishments at the End of the Rating Period**

**Element 1: Supervisor's Rating of Executive's Performance and Supporting Narrative Justification**

Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

## **Element 2: Mandatory Department-wide Executive Responsibilities—Business Acumen (Fully Successful Standard)**

**Internal Controls and Business Results:** Achieves the goals of the acquisition improvement plan, advances strategic sourcing, advances asset management through improved FCI/increased disposition/reducing backlogs, takes steps to reduce travel and administrative costs, improves internal controls and audit results, advances transparency and accountability. Contributes substantially to improving energy conservation, sustainability, and environmental justice.

**IT:** Ensures awareness of and compliance with applicable IT security, records management, FOIA and privacy laws, regulations and policies. Implements technical, managerial and operational controls commensurate with risks and values to be protected; identifies and protects sensitive information; completes required training; produces quality certification and accreditation packages; ensures timely and effective response or remediation of IT security weaknesses or privacy incidents. Identifies opportunities to reduce IT complexity and cost.

**Small Business:** Demonstrates leadership, teaming, and support in achieving the Department's small business and socioeconomic procurement goals including: 57.53% to Small Business through prime contracts; 5% to Small Disadvantaged Businesses; 5% to Women Owned Businesses; 3% to HUBZone Businesses; and 3% to Service Disabled Veteran-Owned Small Business.

**Employee and Customer Feedback:** Listens to employees, colleagues, customers, and labor organizations with exclusive employee representation to identify needs and expectations. Builds alliances, involves stakeholders in making decisions, and gains cooperation to achieve mutually satisfying solutions. Pursuant to Executive Order 13175, actively engages, where appropriate, with Tribes in consultation to promote enhanced communication to emphasize trust, respect and shared responsibility. Understands and uses organizational realities, networks, and accepted practices to achieve desired business results. Uses collaborative techniques and tools such as alternative dispute resolution, adaptive management or structured decision-making to foster partnering and collaboration. Builds trust and cooperative working relationships with stakeholders within and outside the organization. Promotes openness, transparency and collaboration, observing the "open government" initiative.

## **Element 2: Executive Provides Highlights of Accomplishments at the End of the Rating Period**

### **Element 2: Supervisor's Rating of Executive's Performance and Supporting Narrative Justification**

Exceptional       Superior       Fully Successful       Minimally Successful       Unsatisfactory

## Position-Specific Elements

In the spaces below, the executive and his or her immediate supervisor must describe *at least three, but no more than six* critical actions, objectives—including expected 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 Government's, Department's, bureau's or office's or program priorities and tier from the Department's Strategic Plan, the President's Priority Goals, bureau strategic or operational plans, program-specific plans, legislative and/or budgetary requirement, and/or specific discipline goals. 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 3: Position-Specific (Mandatory)

**Describe Commitment and Expected Results:**

**Describe the Link to Strategic or Organizational Goals:**

### Element 3: Executive Provides Highlights of Accomplishments at the End of the Rating Period

### Element 3: Supervisor's Rating of Executive's Performance and Supporting Narrative Justification

Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

**Element 4: Position-Specific (Mandatory)**

**Describe Commitment and Expected Results:**

**Describe the Link to Strategic or Organizational Goals:**

**Element 4: Executive Provides Highlights of Accomplishments at End of the Rating Period**

**Element 4: Supervisor's Rating of Executive's Performance and Supporting Narrative Justification**

Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

**Element 5: Position-Specific (Mandatory)**

**Describe Commitment and Expected Results:**

**Describe the Link to Strategic or Organizational Goals:**

**Element 5: Executive Provides Highlights of Accomplishments at the End of the Rating Period**

**Element 5: Supervisor's Rating of Executive's Performance and Supporting Narrative Justification**

Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

**Element 6: Position-Specific**

**Describe Commitment and Expected Results:**

**Describe the Link to Strategic or Organizational Goals:**

**Element 6: Executive Provides Highlights of Accomplishments at the End of the Rating Period**

**Element 6: Supervisor's Rating of Executive's Performance and Supporting Narrative Justification**

Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

**Element 7: Position-Specific**

**Describe Commitment and Expected Results:**

**Describe the Link to Strategic or Organizational Goals:**

**Element 7: Executive Provides Highlights of Accomplishments at the End of the Rating Period**

**Element 7: Supervisor's Rating of Executive's Performance and Supporting Narrative Justification**

Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

**Element 8: Position-Specific**

**Describe Commitment and Expected Results:**

**Describe the Link to Strategic or Organizational Goals:**

**Element 8: Executive Provides Highlights of Accomplishments at the End of the Rating Period**

**Element 8: Supervisor's Rating of Executive's Performance and Supporting Narrative Justification**

Exceptional     Superior     Fully Successful     Minimally Successful     Unsatisfactory

**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.