

Department of Homeland Security Employee Performance Plan and Appraisal Form

With Honor and Integrity, we will safeguard the American people, our homeland and our values.

General Information

This section allows the Employee or Rating Official to enter the employee appraisal period and the Employee, Rating Official, and Reviewing Official information. Please use the tab key to navigate from field to field.

Employee Information			
		Enter period - normally 01 April XX - 31 March XX	
Start – End			
Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
SSN			
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
Organization		Position Title	
Reviewing Official Information			
Last Name	First Name	Middle Initial	
Organization		Position Title	
<p>PRIVACY ACT STATEMENT: Authority: 49 U.S.C. § 114(n). Principal Purpose(s): This information will be used to document your performance appraisal and to certify that the rating official has discussed your performance appraisal with you. Routine Use(s): This information may be shared in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding, or for routine uses identified in the Office of Personnel Management's system of records, OPM/GOVT-2 Employee Performance File System Records. Disclosure: Voluntary.</p>			

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Core Competencies

This section allows you to view the pre-established, *critical* core competencies and associated performance standards. Each core competency is *critical* which means that an Unacceptable determination in *any one competency* results in an overall Unacceptable Rating. These behavioral competencies were *validated* by the DHS workforce population. You cannot update or modify any of the information in this section. Please use the tab key to navigate through each of the *critical* competencies. Please refer to the Performance Appraisal Rating Summary and Calculation Sheet (i.e., the Ratings Calculator) to view the rating given to each critical core competency.

Each *critical* competency is weighted equally and, together, makeup 40% of the overall performance rating. The *critical* performance goals makeup the other 60% of the overall performance rating and appear under the Performance Goals section of this document.

- 5 – **Achieved Excellence.** The employee performed as described by the “Achieved Excellence” standard.
- 4 – **Exceeded Expectations.** The employee performed at a level between “Achieved Excellence” standard and the “Achieved Expectations” standard.
- 3 – **Achieved Expectations.** The employee performed as described by the “Achieved Expectations” standard.
- 1 – **Unacceptable.** The employee performed below the “Achieved Expectations” standard; action is required.

CORE COMPETENCY 1: COMMUNICATION

Actively listens and attends to nonverbal cues when responding to the questions, ideas, and concerns of others. Communicates in an influential or persuasive manner, as appropriate. Writes in a clear and concise manner. Orally communicates in a clear and concise manner. Tailors communication (e.g., language, tone, level of specificity) to the audiences’ level of understanding and to the communication medium.

Performance Standards

- **Achieved Expectations** Solicits others’ input, viewpoints, or questions; addresses diverse viewpoints and provides clear and organized responses to complex issues, following up to ensure understanding. Shows respect for and carefully considers others’ ideas, comments, and questions. Communicates in an influential or persuasive manner, as appropriate. Independently prepares and delivers timely, clear, and concise communications on complex topics. Independently and effectively selects what information to include in communications to best meet the audience’s needs. Writes communications that typically require minimal revisions.
- **Achieved Excellence** Additions at the Achieved Excellence level: Accurately reads and assesses complex organizational or interpersonal situations and responds effectively. Delivers responses in a confident and compelling manner that frequently persuades the audience to a viewpoint. Tailors communication style (e.g., language, tone, and format) and content to different levels of audiences, properly emphasizing the most critical issues and considering ramifications of communications. Writes communications that rarely require revisions.

CORE COMPETENCY 2: CUSTOMER SERVICE

Communicates with customers to understand their needs. Works with customers to set expectations and keeps them informed of issues or problems. Provides timely, flexible, and responsive services to customers.

Performance Standards

- **Achieved Expectations** Maintains regular contact with customers to understand and anticipate their needs; uses customer feedback to enhance products and services. Works with customers to reach mutually acceptable expectations, timelines, and deliverables for large-scale initiatives. Informs customers of changes, issues, or problems that could affect progress and develops effective solutions to address them. Provides flexible, creative, and responsive service to customers, resulting in high levels of customer satisfaction.
- **Achieved Excellence** Additions at the Achieved Excellence level: Proactively develops innovative and useful approaches for improving or expanding products or services. Takes initiative to anticipate and proactively implement effective solutions to prevent problems, thus avoiding gaps in customer expectations and maximizing customer satisfaction.

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CORE COMPETENCY 3: REPRESENTING THE AGENCY

Represents the agency and its interests in interactions with external parties. Ensures that interactions with and information provided to outside parties reflect positively on the agency. Enhances trust and credibility in the agency and its mission through effective professional interactions with others outside the organization. Deals professionally and tactfully with external parties in difficult, tense, or emergency situations.

Performance Standards

- **Achieved Expectations** Represents the agency in a professional manner that educates others, protects its interests, and enhances its image and reputation. Takes action to effectively manage difficult, tense, or emergency situations. Engages with others in a manner that earns their respect and helps to advance the agency's goals and objectives.
- **Achieved Excellence** Additions at the Achieved Excellence level: Demonstrates exceptional skill in representing the agency; is widely recognized and regularly sought to handle very difficult, sensitive, or visible situations with others. Assumes leadership in handling extremely difficult, tense, or emergency situations; quickly and decisively manages them with a high degree of effectiveness.

CORE COMPETENCY 4: TEAMWORK AND COOPERATION

Makes positive contributions to achieving team goals. Develops and maintains collaborative working relationships with others. Builds effective partnerships that facilitate working across boundaries, groups, or organizations. Respects and values individual differences and diversity by treating everyone fairly and professionally. Works constructively with others to reach mutually acceptable agreements to resolve conflicts.

Performance Standards

- **Achieved Expectations** Contributes to achieving objectives by demonstrating collaborative behaviors with others and building effective partnerships across organizational boundaries. Independently offers assistance and provides support to advance goals. Deals with everyone fairly, equitably, and professionally, respecting and valuing individual differences and diversity. Anticipates situations with potential for conflict and takes effective measures to minimize escalation. Fosters an environment in which all team members are encouraged to speak openly, freely, and constructively, resulting in the effective resolution of conflicts.
- **Achieved Excellence** Additions at the Achieved Excellence level: Collaborates beyond what is expected resulting in high-impact contributions. Skillfully develops productive relationships and networks that advance goals. Fosters a climate of trust by demonstrating behavior that clearly values individual differences and diversity.

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CORE COMPETENCY 5: TECHNICAL PROFICIENCY

Demonstrates and applies relevant knowledge and skills to perform work in accordance with applicable guidelines. Uses appropriate and available technology or tools to perform work activities. Acquires, develops, and maintains relevant and appropriate job skills through training or other opportunities for learning and development. Stays up-to-date on developments related to own work. Demonstrates an understanding of the organization's mission, functions, and systems. Collects relevant information that is needed to identify and address problems or issues. Analyzes and integrates information to identify issues and draw sound conclusions. Identifies and evaluates alternative solutions to problems. Makes sound, well-informed, and timely decisions or recommendations. Identifies and utilizes innovative or creative methods and solutions to accomplish work, as appropriate. Maintains an awareness of available resources and the process for acquiring resources. Identifies and advocates for resources required to accomplish work activities or projects. Makes effective and efficient use of available resources. Safeguards available resources to prevent fraud, waste, and abuse.

Performance Standards

- **Achieved Expectations** Successfully applies advanced knowledge and skills (including use of technology and tools) to perform a wide range of work activities, such as those that are highly complex, visible, or organization-wide. Effectively seeks and uses formal or informal feedback on own performance to enhance knowledge and skills that facilitate achieving results. Demonstrates a thorough understanding of the applicable organization's mission, functions, values, the interrelationships between various units and organizations, and relevant policies/procedures (to include, as appropriate, responsibilities toward the protection of classified national security information) and how these affect the agency; carries out complex work in accordance with these. Demonstrates in-depth knowledge of the resources available to the work unit, and ensures that resources are distributed and utilized in a highly efficient manner. As required, prepares complex project or activity resource plans and effectively defends resource requirements. Identifies and collects key information that is needed to provide a comprehensive understanding of the situation. Effectively analyzes and integrates complex information to identify important issues and assumptions, assess impact, and draw logical conclusions. Anticipates and identifies alternative solutions for complex problems and makes sound and timely decisions; considers alternative courses of action and chooses an effective option.
- **Achieved Excellence** Additions at the Achieved Excellence level: Uses depth or breadth of expertise to handle the most complex and difficult technical assignments at this level, performing cutting-edge or precedent-setting work. Continually broadens and enhances expertise, resulting in performing the most complex work activities and making contributions that significantly advance key organizational goals and objectives. Devises creative and resourceful approaches to leverage available resources, thereby maximizing achievement of outcomes. Identifies and uses effective methods to optimize efficiency in gathering information. Develops highly effective solutions or decisions for unusual or more complex issues, carefully considering both short- and long-term consequences. Rapidly makes insightful connections between disparate pieces of information and identifies issues with larger implications and significance.

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Performance Goals

This section allows entry for up to 5 *critical* Performance Goals for the employee. Each performance goal is *critical*, which means that an Unacceptable determination in *any one goal* results in an overall Unacceptable Rating. If more than 5 Performance Goals need to be added, please use the "Additional Goals/Comments" section located at the end of this document. Please use the tab key to navigate from field to field. Please refer to the Performance Appraisal Rating Summary and Calculation Sheet (i.e., the ratings calculator) to view the rating given to each critical performance goal.

Each *critical* performance goal must be assigned a share to equal 100% and, together, makeup 60% of the overall performance rating. For example, if the employee has 3 *critical* goals, they might be weighted as follows: 25%, 25%, and 50%. The *critical* competencies makeup the other 40% of the overall performance rating and appear under the Core Competencies section of this document.

- 5 – **Achieved Excellence.** The employee performed as described by the "Achieved Excellence" standard.
- 4 – **Exceeded Expectations.** The employee performed at a level between "Achieved Excellence" standard and the "Achieved Expectations" standard.
- 3 – **Achieved Expectations.** The employee performed as described by the "Achieved Expectations" standard.
- 1 – **Unacceptable.** The employee performed below the "Achieved Expectations" standard; action is required.

For each performance goal, please describe expected performance at the "Achieved Expectations" and "Achieved Excellence" levels. These "performance standards" should include measures such as quality, quantity, timeliness, and/or cost effectiveness.

Performance Goal 1 (provide a brief statement of what is to be achieved – Outcomes/Results):

Enter Goal

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Enter performance standard for Achieved Expectations and Achieved Excellence levels

Achieved Excellence:

Weight: %

Enter Goal weight; goals must total 100%

Comments (If appropriate):

Performance Goal 2 (provide a brief statement of what is to be achieved – Outcomes/Results):

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

Performance Goal 3 (provide a brief statement of what is to be achieved – Outcomes/Results):

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

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Performance Goal 4 (provide a brief statement of what is to be achieved – Outcomes/Results):

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

Performance Goal 5 (provide a brief statement of what is to be achieved – Outcomes/Results):

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

Additional Goals (as appropriate)

This section shall be used for any *goal* overflow throughout the document (i.e. performance goals, comments). If additional performance goals are entered here, please use the format below.

Performance Goal (provide a brief statement of what is to be achieved – Outcomes/Results):

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

Performance Goal (provide a brief statement of what is to be achieved – Outcomes/Results):

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

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Performance Plan Acknowledgements & Comments

This acknowledges the start of the employee performance plan and the employee appraisal period.

I certify that the performance goals have been reviewed and approved by the Reviewing Official.

SIGN HERE TO PUT PLAN IN PLACE BY 01 MAY or WITHIN 30 DAYS OF NEW POSITION

Rating Official Signature _____ Date _____

Rating Official Comments:

I have discussed my performance plan with my Rating Official.

Employee must also sign and date

Employee Signature _____ Date _____

Employee Comments:

Mid-Cycle Review Acknowledgements

At least one formal mid-cycle review is required during the appraisal period.

**REQUIRED MID-CYCLE REVIEW, AKA
PROGRESS REVIEW**

I certify that the mandatory formal mid-cycle progress **review and discussion occurred.**

Rating Official Signature _____ Date _____

Rating Official Comments:

COMMENTS HIGHLY RECOMMENDED

Employee Signature _____ Date _____

Employee Comments:

SEEK EMPLOYEE INPUT/COMMENTS PRIOR TO DISCUSSION AND INSERT HERE

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Progress Review Acknowledgements & Comments (optional)

This section is provided for any additional progress reviews that may occur throughout the performance cycle.

A progress review discussion occurred.

**FOR ADDITIONAL PROGRESS
REVIEWS IF NEEDED**

Employee Signature _____ Date _____
Employee Comments:

Rating Official Signature _____ Date _____
Rating Official Comments:

Interim Evaluation Acknowledgements & Comments (as appropriate)

An Interim Evaluation is defined as a narrative description of an employee's performance as measured against the performance expectations set forth in a Performance Plan. Under certain circumstances supervisors will prepare "Interim Evaluations" of performance prior to the conclusion of the Rating Cycle. Please consult your Human resources Office for an explanation of when Interim Evaluations are to be prepared. Interim Evaluations will be considered by employees' permanent supervisors-of-record when preparing a final Ratings of Record.

An Interim Evaluation discussion occurred.

**IF INTERIM NEEDED, COMPLETE THIS SECTION TO
INCLUDE A NARRATIVE UNDER COMMENTS**

Rating Official Signature _____ Date _____
Rating Official Comments:

Employee Signature _____ Date _____
Employee Comments:

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Please use the **Rating Summary and Calculation Sheet** (i.e., **FY 2013 Ratings Calculator**) located on the DHS Intranet (or your Component's Intranet) to document the Determinations for each **Core Competency** and **Performance Goal**, as well as the employee's overall, final **Rating of Record**.

The completed Ratings Calculator sheet must be attached to this document in order to complete the employee's record.

FINAL RATING AND SIGNATURES ON THE
RATING CALCULATOR