

2011 Department of Homeland Security Performance Plan and Appraisal

Employee Information

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Rating Period Start - End

Last Name	First Name	Middle Initial
Employee Identification Number (consult component for specific use)	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	

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, DPM/GOVT-2 Employee Performance File System Records. Disclosure: Voluntary.

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Each core competency is weighted equally and, together, makeup 40% of the overall performance rating. The 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” standards.
- 4 – Exceeded Expectations. The employee performed at a level between “Achieved Excellence” standards and the “Achieved Expectations” standards.
- 3 – Achieved Expectations. The employee performed at as described by the “Achieved Expectations” standards.
- 1 – Unacceptable. The employee performed below the “Achieved Expectations” standards; corrective action is required.

Core Competency 1: Multitasking

Accomplishes high volumes of work with daily and long term priorities. Shifts among job tasks with competing priorities. Operates within project deadlines.

Performance Standards

- **Achieved Expectations** Completes daily tasks, that occasionally have competing priorities, efficiently and effectively; end products are typically error-free but may require revisions. Demonstrates ability to work on and complete multiple tasks; shifts the focus of work efforts readily to meet deadlines. Understands issues, analyzes data and makes decisions utilizing multiple and simultaneous sources of informational input.
- **Achieved Excellence** Completes routine and non-routine tasks that frequently have competing priorities, efficiently and effectively; offers suggestions on how to restructure tasks to minimize conflicting priorities. Demonstrates consistent ability to work on and complete multiple tasks with conflicting deadlines and seeks out additional tasks; completes projects on or prior to their assigned deadlines on a consistent basis. Understands and anticipates issues, analyzes data and makes effective, accurate and timely decisions utilizing multiple and simultaneous sources of informational input; proposes solutions to management.

Core Competency 2: Flexibility

Welcomes change and new information, ideas, and strategies. Adapts work methods in response to new information, unexpected obstacles, and changing conditions. Adjusts rapidly to new situations warranting attention and resolution. Develops contingency plans to ensure objectives can be met.

Performance Standards

- **Achieved Expectations** Demonstrates an open attitude to change, new information, ideas, and strategies; incorporates new information into work. Modifies behavior or work methods appropriately in response to new information, changing conditions, or unexpected obstacles to maintain performance. Accomplishes all responsibilities despite unexpected change and obstacles.
- **Achieved Excellence** Demonstrates an open attitude to change, new information, ideas, and strategies; incorporates new information into work with a positive attitude and serves as an active champion of change to help others quickly assimilate and adapt. Modifies behavior or work methods rapidly and appropriately in response to new information, changing conditions, or unexpected obstacles to maintain or improve performance and encourages peers to do the same. Accomplishes all responsibilities despite unexpected change and obstacles and consistently volunteers services, on short or limited notice, to meet unexpected challenges, circumstances, and/or situations. Recognizes situations in which change would have a positive impact on the work unit and/or TSA's performance and makes workable recommendations.

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Core Competency 3: Decision Making

Applies policies, directives, and regulations that relate to TSA operations and programs when making decisions. Ensures that activities, services, or products reflect organizational goals and objectives. Adjusts priorities to respond to pressing and changing needs. Adapts work methods in response to new information and changing conditions.

Performance Standards

- **Achieved Expectations** Makes sound and informed decisions from available data. Analyzes information, considers issues, weighs alternative solutions and makes decisions in advance of deadlines with appropriate supervisory guidance. Uses TSA's SOPs, directives, and policies effectively to make accurate decisions. Takes responsibility for own decisions and effectively explains the logic used in making those decisions. Distinguishes relevant from irrelevant information; differentiates between routine and complex situations that require decisions; seeks supervisory guidance when appropriate.
- **Achieved Excellence** Makes consistently sound decisions when data is limited or unavailable and when faced with adverse and potentially threatening situations and/or environments; mentors others effectively in making sound decisions. Analyzes information, considers issues, weighs alternative solutions and makes decisions in advance of deadlines with limited guidance; considers the costs and benefits of different approaches when making decisions. Uses TSA's SOPs, directives, and policies effectively to make accurate decisions; recognizes implications of those decisions; collects additional data to support the decision made if necessary. Takes responsibility for own decisions and effectively explains the logic used in making those decisions; documents alternative approaches and the impact of the decisions; seeks the input and interests of those affected when resolving problems. Distinguishes relevant from irrelevant information; identifies and analyzes underlying causes of issues to make decisions for the resolution of routine and occasionally complex problems.

Core Competency 4: Problem Solving

Identifies the existence of problems that impede accomplishing tasks. Researches the cause of problems and offers a variety of solutions to resolve problems. Explores new ways to accomplish tasks. Implements solutions to problems to ensure completion of affected tasks.

Performance Standards

- **Achieved Expectations** Uses logic to identify alternatives to solve routine problems that exist in the performance of own job. Notifies appropriate individuals of the existence of problems in a timely manner to avoid delays. Provides input to the solutions of problems by gathering and applying information from standard materials or sources. Assists with implementing assigned changes to procedures.
- **Achieved Excellence** Uses logic consistently to identify alternatives to solve difficult problems that may affect the efficiency and performance of own work unit. Anticipates problems and identifies and evaluates potential sources of information; generates alternatives to solve problems where precedents may not exist; distinguishes between relevant and irrelevant information. Researches the root cause of non-standard problems; suggests methods for implementation of changes to procedures that can be accomplished in a timely manner. Implements the changes to procedures in own work unit in a timely manner.

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Core Competency 5: Communication

Listens actively and attends to non-verbal cues when communicating with others. Provides information on products, services, resources, or opportunities, as applicable. Explains, defends, or justifies decisions, recommendations, and findings.

Discusses results, problems, plans, suggestions, terms, or conditions with others. Persuades others to take a particular course of action or to accept findings and recommendations. Acts effectively as a liaison between work unit and customers.

Prepares reports, briefs, and studies. Explains technical or other complex information.

Performance Standards

- **Achieved Expectations** Communicates relevant information and explanations to others clearly and concisely. Takes the audience and nature of the situation into account when exchanging information. Listens attentively to others and asks clarifying questions to ensure own understanding. Responds positively to constructive criticism and assumes responsibility for any factual errors or omissions. Develops organized studies, reports, and briefs that convey technical or other information in a manner appropriate to the audience. Produces documents that adequately address the topics of concern. Provides complete, tailored, timely, actionable, and validated terrorism-related information at the level or levels necessary to address the needs of information sharing environment users, as applicable. Collaborates with others and identifies impediments or improvements to information sharing among Federal, Senior Leadership Team, private sector, and foreign partners, as applicable. Keeps customers and/or colleagues informed of changes to procedures, databases, and access procedures that enhance information sharing, as applicable.
- **Achieved Excellence** Communicates relevant information and explanations to others clearly and concisely so that a particular course of action or recommendation is accepted. Takes the audience and nature of the situation into account when exchanging information; exhibits an awareness of the impact of own words, actions, or decisions on others and the selective importance of various issues to distinct groups. Listens attentively to others, asks clarifying questions to ensure own understanding with regard to the impact of management decisions, and communicates perspectives to management. Responds positively to constructive criticism and assumes responsibility for any factual errors or omissions; provides guidance to individuals who respond negatively to criticism or need clarification on purpose of criticism. Develops consistently well-organized studies, reports, and briefs that convey technical or other complex information in an effective manner appropriate to the audience with minimal need for revision. Produces well-written documents that succinctly address the topics of concern and contains background information sufficient to justify recommendations and decisions; explores various alternatives, and presents well-documented conclusions or findings. Explains program information or procedural matters effectively and provides additional information in anticipation of questions or related concerns. Reviews work of others.

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Core Competency 6: 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. Demonstrates an understanding of the organization's mission, functions, and systems including the application of standard security procedures. Acquires, develops, and maintains relevant and appropriate job skills through training or other opportunities for learning and development. Gathers and/or analyzes data or information relevant to security issues. Verifies accuracy, completeness, and/or authenticity of information in documents, reports, and records.

Performance Standards

- **Achieved Expectations** Successfully applies basic knowledge and skills (including use of technology and tools) to perform more routine assignments for their occupational specialty under close supervision. Demonstrates a basic understanding of the organization's mission, functions, values, and relevant policies/ procedures (to include, as appropriate, responsibilities toward the protection of classified national security information); carries out basic tasks in accordance with these. As directed, develops job skills that facilitates achieving results. Gathers sufficient data to ascertain the essential facts required to complete assignments. Ensures that information collected is complete, accurate, and sufficiently well-organized to be readily retrievable and free of errors and omissions; proofreads and appropriately formats work prior to delivery. Prepares logical data analyses that address essential issues and sources of information.
- **Achieved Excellence** Successfully applies basic knowledge and skills (including use of technology and tools) to perform more routine assignments for their occupational specialty with minimal supervision. Demonstrates an in-depth understanding of the organization's mission, functions, values, and relevant policies/procedures (to include, as appropriate, responsibilities toward the protection of classified national security information); carries out tasks in accordance with these. Continually broadens and enhances job skills, resulting in performing more complex work activities. Gathers comprehensive data consistently, researches relevant sources, explores leads thoroughly, and presents findings in a clear, logical, and impartial manner to an appropriate audience. Ensures that information collected is consistently complete, accurate, free of errors and omissions and sufficiently well-organized to be readily retrievable; proofreads and appropriately formats work prior to delivery. Prepares precise, logical data analyses that address essential issues, and draws valid, supportable conclusions. Identifies issues and provides solutions to supervisors; suggests process and systems changes that reduce the possibility for error and increase the early identification of problems.

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Core Competency 7: Supervisory Skills

Creates a positive work environment by encouraging mutual respect, communication, and innovation and manages conflict constructively. Organizes and facilitates teams skillfully to accomplish mutual goals. Administers performance management responsibilities including completion of performance plans, performance appraisals and ratings, rewards, provision of meaningful feedback, and taking appropriate measures to address performance and conduct issues. Involves team members in decisions and problem solving. Communicates information on performance, work status, changes, issues, and results effectively. Leads, develops, and manages a high performing, diverse workforce, ensuring employment practices are administered in a fair and equitable manner. Promotes and fosters an inclusive workplace where diversity is valued and leveraged to achieve the vision and mission of the organization. Recruits, hires, transitions into Federal service, and retains qualified employees, as applicable.

Performance Standards

- **Achieved Expectations** Responds to, and manages subordinates' interpersonal conflicts; brings the potential for conflicts and/or disputes to their attention; works with subordinates to ensure that conflicts and/or disputes do not have a destructive effect on workplace morale and productivity. Supports subordinates in learning and applying new skills; provides continual, direct, observation-based, and constructive feedback to ensure team focus, motivation, and performance. Develops and sustains consistently cooperative working relationships with subordinates and peers. Establishes and clearly communicates work unit goals to team members. Delegates responsibility and commensurate authority appropriately to others. Completes performance management responsibilities, provides meaningful feedback, and addresses employee performance problems according to established procedures. Builds a high performing, diverse workforce and ensures fairness in leadership practices by recruiting, hiring, promoting, and/or providing developmental opportunities in a fair and equitable manner. Promptly addresses allegations of harassment or discrimination, taking appropriate action; takes action to prevent future similar issues. Enables a work environment and organizational culture that values and promotes diversity (of both persons and points of view) and collaboration and where employees are allowed to express their individual views toward improving work products, services, processes, teamwork, and the work environment itself; demonstrates inclusiveness and sensitivity to individual differences. Supports and participates in TSA diversity programs and initiatives; encourages employee participation in diversity-related activities, events, groups, and organizations, when available. Implements recruitment, retention, and developmental strategies and policies that support organizational performance objectives, agency hiring goals. Plans current and future workforce requirements, based on organizational goals and budget considerations. Fully involved in the hiring process, including identifying skills required for the job, engaging actively in the recruitment process and, if applicable, the interviewing process, proper screening of the applications.
- **Achieved Excellence** Anticipates, recognizes, responds to, and manages subordinates' interpersonal conflicts; brings the potential for conflicts and/or disputes to their attention; works with subordinates to ensure that conflicts and/or disputes do not have a destructive effect on workplace morale and productivity. Motivates subordinates and develops staff competencies proactively by actively identifying developmental and training needs and providing creative opportunities such as job rotations or special assignments, as well as more traditional approaches. Facilitates and leads a cooperative working environment that allows ideas to be shared, people to be heard, and working relationships maintained. Involves team members in establishing work unit goals and in the decision-making process, motivates the team to develop a sense of ownership for team successes, and identifies areas for improvement. Delegates high-level responsibilities, tasks, projects, and commensurate authority appropriately to capable employees; mentors employees to aid in their career development and potential for promotion. Completes performance management responsibilities, provides meaningful feedback, addresses emerging employee performance problems and resolves the problems before they adversely effect work unit performance. Shares experience, expertise, and other information in order to enhance overall team ability and performance. Diffuses complex, sensitive, and potentially volatile situations using diplomacy, tact, and persuasion by responding appropriately to diverse audiences. Monitors the work environment to identify situations which could potentially lead to allegations of harassment or discrimination and establishes practices to attempt to prevent such allegations. Establishes practices to ensure diversity and collaboration within the organization and where employees are encouraged to express their individual views toward improving work products, services, processes, teamwork, and the work environment itself; works with staff to effectively leverage diverse thoughts, opinions, experiences, and backgrounds to achieve the vision and mission of the organization; serves as a role model for respectful and inclusive behaviors to others. Actively promotes TSA diversity programs and initiatives, highlighting the Agency's commitment to diversity and its value to the organization; facilitates participation in diversity-related programs and initiatives. Makes self and employees aware of any programs that support diversity, such as employee groups, educational entities, or professional associations, serving as a mentor/coach, participating in outreach/recruitment efforts, or similar means.

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Each 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 goals, they might be weighted as follows: 25%, 25%, and 50%. The core 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” standards.
- 4 – Exceeded Expectations. The employee performed at a level between “Achieved Excellence” standards and the “Achieved Expectations” standards.
- 3 – Achieved Expectations. The employee performed at as described by the “Achieved Expectations” standards.
- 1 – Unacceptable. The employee performed below the “Achieved Expectations” standards; corrective action is required.

For each goal performance standard, describe the level of performance at the Achieved Expectations and Achieved Excellence level by using such terms as quality, quantity, timeliness, and cost effectiveness.

Performance Goal 1 (Outcomes/Results):

Insert the higher level goal, objective, or mission of the organization and/or of the supervisor to which this goal aligns:

Weight: %

Achieved Expectations:

Achieved Excellence:

Performance Goal 2 (Outcomes/Results):

Insert the higher level goal, objective, or mission of the organization and/or of the supervisor to which this goal aligns:

Weight: %

Achieved Expectations:

Achieved Excellence:

Performance Goal 3 (Outcomes/Results):

Insert the higher level goal, objective, or mission of the organization and/or of the supervisor to which this goal aligns:

Weight: %

Achieved Expectations:

Achieved Excellence:

Performance Goal 4 (Outcomes/Results):

Insert the higher level goal, objective, or mission of the organization and/or of the supervisor to which this goal aligns:

Weight: %

Achieved Expectations:

Achieved Excellence:

Performance Goal 5 (Outcomes/Results):

Insert the higher level goal, objective, or mission of the organization and/or of the supervisor to which this goal aligns:

Weight: %

Achieved Expectations:

Achieved Excellence:

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I have discussed my performance plan with my Rating Official.

Employee Signature _____ Date _____

Employee Comments:

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

Rating Official Signature _____ Date _____

Rating Official Comments:

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

Employee Signature _____ Date _____

Employee Comments:

Rating Official Signature _____ Date _____

Rating Official Comments:

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I have provided my progress review.

Employee Signature _____ Date _____
Employee Comments:

Rating Official Signature _____ Date _____
Rating Official Comments:

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An Interim Evaluation discussion occurred.

Employee Signature _____ Date _____
Employee Comments:

Rating Official Signature _____ Date _____
Rating Official Comments:

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Core Competency Ratings (40% of overall rating)

Competency 1:	Rating:
Competency 2:	Rating:
Competency 3:	Rating:
Competency 4:	Rating:
Competency 5:	Rating:
Competency 6:	Rating:
Competency 7:	Rating:

Overall Competency Rating:

Performance Goal Ratings (60% of overall rating)

Performance Goal 1	Weight:	%	Rating:
Performance Goal 2	Weight:	%	Rating:
Performance Goal 3	Weight:	%	Rating:
Performance Goal 4	Weight:	%	Rating:
Performance Goal 5	Weight:	%	Rating:
Performance Goal 6	Weight:	%	Rating:
Performance Goal 7	Weight:	%	Rating:
Performance Goal 8	Weight:	%	Rating:
Performance Goal 9	Weight:	%	Rating:
Performance Goal 10	Weight:	%	Rating:

Overall Performance Goal Rating:

Overall Performance Rating

Overall Performance Rating:

The Annual Appraisal discussion occurred.

Reviewing Official Signature _____ Date _____
Reviewing Official Comments:

Employee Signature _____ Date _____
Employee Comments:

Rating Official Signature _____ Date _____
Rating Official Comments:

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<Write additional goals here. Please follow format above.>