

**Department of Homeland Security
Employee Performance Plan and Appraisal Form**

Employee Information

10/1/2014 - 9/30/2015

**Start - End
Employee Performance Appraisal Period**

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

Core Competencies

- **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: 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 facilitate 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 *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): RISK BASED SECURITY

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Improve mission effectiveness by implementing risk-based, intelligence-driven security initiatives across all transportation modes. Applies risk based security-driven execution of internal and external efforts to achieve support for, and execution of, intelligence driven, risk based security efforts to include current operational processes.

Achieved Expectations:

- Successfully leads one briefing per month with the BDO workforce to cover BDO roles and responsibilities in TSA's Risk Based Security initiative. Formulates agenda for each meeting and documents BDO questions and concerns in order to ensure BDOs are familiar with risk based security initiatives and how behavior detection supports the process.
- Collaborate with TSA programs and security stakeholders to enhance the layered security capability to conduct risk-based deployments and to strengthen the airport's security posture.
- Applies risk based assessment tools in making risk based decisions.
- Coordinates with the local Field Intelligence Office (FIO), National Information Officer (NIO) and/or AFSD-LE, where available, to receive available intelligence information and ensures 95% of the BDO staff receive monthly security briefings.
- On a daily basis encourage stakeholder engagement with both internal and external entities by fostering overall communication.

Achieved Excellence:

- Meets the standards of Achieved Expectations at a higher level that demonstrates significant contributions to the security mission.
- Identify potential security vulnerability gaps and submit recommendations/mitigations through the I band BDA TSM and/or BDA Coordinator.
- Coordinate with the local Field Intelligence Office (FIO), National Information Officer (NIO) and/or AFSD-LE, where available, to receive available intelligence information and ensure 100% of the BDO staff receive monthly security briefings.
- Implement senior leadership's plan to mitigate risk and incorporates risk based strategies into BDO deployment scheduling.

Weight: 25%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Maintain an engaged, results oriented, security focused, and diverse screening workforce by consistently developing and sustaining cooperative working relationships with subordinates and peers across functions.

Aim to foster commitment, pride, trust and respect within TSA.

Drive the message that people-teamwork-workplace-recruitment and training help to create an engaged, results oriented, security focused and diverse workforce and continue to develop an adaptive and flexible counterterrorism workforce that is professional, hardworking and of high integrity.

Achieved Expectations:

- Lead by example by providing documented mentoring and coaching in BEAM at least eight hours each pay period, modeling desired practices and standards in own behavior; set clear expectations for subordinates and holding them accountable for

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performance. Collaboratively engages with peers, subordinates to drive continuous improvement in teamwork, threat mitigation and customer service.

- Ensure daily briefings are conducted and include discussion items applicable to the BDA Shift Brief and other applicable items as deemed on the local TSA level.
- Establish a weekly meeting with the G band Supervisors to foster overall team collaboration and growth.
- Collaborate with internal TSA such as TSOs, TSMs, TSIs and other participants to help foster a strong working relationship.
- Communicate all relevant SOP changes, best practices, and other information to enhance the team's daily operations and routinely monitor the BDA iShare site for updates and changes in the BDA program.
- During daily shift briefings, elicits ideas from the BDO workforce to improve security screening processes and procedures, while allowing them to have ownership of the process. Documents ideas for possible follow up action.
- Support and utilize Model Workplace and ICMS principles and methods.
- Ensure a monthly BDO team meeting is established to include each session having an agenda that covers areas of the operation.
- Officers have attended the session(s), to include the following, but not limited to:
 - Q & A session for the officers
 - Review of prior BDA referral incidents as it relates to BDA referral completion
 - Conduct discussions of operational set-up and practices that occurred or can be improved upon
 - Review/recap of the BDA monthly or bi-weekly conference call when applicable

Achieved Excellence:

- Meets the measures of Achieved Expectations at a higher level that demonstrates significant contributions to the security mission.
- In the absence of an I band, ensure the review of town hall notes, agendas; staff meetings or briefing notes; working group products in which issues/concerns were identified and handled respectfully.
- Provide opportunity for BDOs to participate in one developmental program(s) to increase retention and continue to build and retain a highly skilled and diverse workforce, capable of sustaining operations and effectively executing assigned missions.
- Collaborate with internal TSA such as TSOs, TSMs, TSIs and other participants to help foster a strong working relationship. Establish at a minimum of 1 reoccurring quarterly meeting with the screening workforce to provide an overview of the BDA process and partnership with the screening workforce. Purpose of this is to enhance the overall collaboration of the teamwork and to diffuse some concerns from the checkpoints and BDOs of a separation in functions.
- Ensure a personal IDP is developed and sustained during the rating period

Weight: 25%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor, to which this goal *aligns*. Sustain programs in order to provide stability, compliance and team growth.

Achieved Expectations:

- Operate in accordance with the BDA SOP to ensure effective execution of local BDA operations by:
 - a) demonstrating knowledge of the SOP and all supporting documents/guidance, and;
 - b) actively performing at least 8 hours of BDA each pay period by conducting
 - Walk the Line (WTL),
 - Behavior Observation, and
 - Casual Conversation (CC) duties.
- Ensure this is tracked via BEAM and/or other repository.
- Ensure 100% of available employees are current in their applicable OLC required annual training.
- Enhance the capabilities of the local TSA leadership to make informed decisions by ensuring that all documents provided to local TSA senior leadership and if applicable GSO HQ and Regional Offices have undergone a quality assurance review prior to dissemination. This would also include accurate metric related information in reviewing and promoting referral information and incident reports.
- Ensure all referral reports and incidents are accurately written/documented to include ensuring information is reported into PARIS, TISS and the BDA PMIS database as required in the BDA SOP.
- Promote operational supervisory floor coverage by ensuring BDA supervisors remain engaged in the operation by providing supervisory oversight and applying coaching and mentoring. Ensure BDA Supervisors conduct BDA operations as applicable to the BDA SOP.
- Ensure all referral reports and incidents are accurately written/documented to include ensuring information is reported into PARIS, TISS and the BDA PMIS database as required in the BDA SOP.

Achieved Excellence:

- Meets the measures of Achieved Expectations at a higher level that demonstrates significant contributions to the security mission.

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- As a BDA TSM maintain an engaged, results oriented, security focused, and diverse workforce. Consistently developing and sustaining cooperative working relationships with subordinates, peers, leaders, and across functions. Fostering commitment, pride, trust and respect within TSA. Documents efforts in BDO designated notebook.
- Utilize performance measures and audits to develop employee's security awareness and to promote mentoring and coaching by reviewing BDA referral reports, incident reports, PEC information and other applicable information.
- In the absence of the BDA 1 band, ensure the destruction and disposition schedule are developed and maintained regarding records based on TSA policies and procedures.

Weight: 25%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Pursue business excellence through effective process management and the application of balanced measures. Improve the effectiveness of screening operations, ensure compliance with laws and regulations, strengthen financial controls, and provide assurance statements.

Achieved Expectations:

- Immediately implement corrective action plans in identified areas for improvement as it relates to PCA/OOI visits and/or internal audits. Document and provide all corrective action plans to the BDA Coordinator for review.
- Strengthen security objectives by 'exercising' internal control measures as required by Management Control Plan (MCOP), and conduct program reviews to ensure our mission and resources are protected against fraud, waste and abuse.
- Performs audits to ensure all SSI and accountable property is secured and tracked as required.
- Comply with applicable IT security and privacy laws, regulations and policies.
- In accordance with OSHA guidelines/comply with sound safety policies and procedures for reporting accidents, hazards, and dangerous work practices for employees.
- Adhere to TSA MDs, Policy, Core Values and Code of Conduct in an honest, trustworthy and ethical manner at all times.
- In the absence of the 1 band, strengthen security objectives by 'exercising' internal control measures as required by Management Control Plan (MCOP), and conduct program reviews to ensure our mission and resources are protected against fraud, waste and abuse.
- Ensure BDA Supervisors administer Transportation Officer Performance System (TOPS) for all eligible employees consistent with program requirements. During performance reviews, provide observation based and constructive performance feedback and recognition to subordinates on an ongoing basis.

Achieved Excellence:

- Meets the measures of Achieved Expectations at a higher level that demonstrates significant contributions to the security mission.
- Learn about current and emerging issues/developments in transportation security and applies knowledge to make technically sound operational decisions and report findings to the BDA Coordinator when applicable.
- Ensure 100% of TOPS related meetings are conducted and documented each quarter as established within the designated time frame.

Weight: 25%

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):

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

Rating Official Signature _____ Date _____
Rating Official Comments:

I have discussed my performance plan with my Rating Official.

Employee Signature _____ Date _____
Employee Comments:

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

Rating Official Signature _____ Date _____
Rating Official Comments:

Employee Signature _____ Date _____
Employee Comments:

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A progress review discussion occurred.

Employee Signature _____ Date _____
Employee Comments:

Rating Official Signature _____ Date _____
Rating Official Comments:

An Interim Evaluation discussion occurred.

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.

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Employee Information

10/1/2014 - 9/30/2015

**Start - End
Employee Performance Appraisal Period**

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Organization	Position Title	Duty Location	

Rating Official Information

Last Name	First Name	Middle Initial	
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Reviewing Official Information

Last Name	First Name	Middle Initial	
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Core Competencies

Core competencies are the skills, knowledge, and abilities that are essential for the successful performance of the job. They are the foundation of the job and are the basis for the performance goals. The core competencies are defined by the Department of Homeland Security and are used to evaluate the performance of all employees. The core competencies are divided into two categories: critical and non-critical. Critical competencies are those that are essential for the successful performance of the job and are weighted equally. Non-critical competencies are those that are not essential for the successful performance of the job and are weighted less. The core competencies are used to evaluate the performance of all employees and are the basis for the performance goals.

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.

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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.
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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.

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- **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.
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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 facilitate 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 *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): RISK BASED SECURITY

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Improve mission effectiveness by implementing risk-based, intelligence-driven security initiatives across all transportation modes. Applies risk based security-driven execution of internal and external efforts to achieve support for, and execution of, intelligence driven, risk based security efforts to include current operational processes.

Achieved Expectations:

- Ensure BDA personnel are familiar with risk based security initiatives and how behavior detection support the process.
- Collaborate with TSA programs and security stakeholders to enhance the layered security capability to conduct risk-based deployments and to strengthen the airport's security posture.
- Apply risk based assessment tools in making risk based decisions.
- Coordinate with the local Field Intelligence Office (FIO), National Information Officer (NIO) and/or AFSD-LE, where available, to receive available intelligence information and ensure on board BDOs receive monthly security briefings.
- On a weekly basis encourage stakeholder engagement with both internal and external entities by fostering overall communication.
- Review raised security vulnerabilities as provided by BDOs and BDA TSMs and ensure a process has been established to mitigate the concerns.

Achieved Excellence:

- Meet the standards of Achieved Expectations at a higher level that demonstrates significant contributions to the security mission.
- Coordinate to ensure potential security vulnerabilities gaps have been mitigated as presented by the BDA TSM and BDO staff
- Coordinate with the local Field Intelligence Office (FIO), National Information Officer (NIO) and/or AFSD-LE, where available, to receive available intelligence information and ensure available BDO staff receive monthly security briefings.
- Implement senior leadership's plan to mitigate risk and incorporates risk based strategies into BDO deployment scheduling.

Weight: 25%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Maintain an engaged, results oriented, security focused, and diverse screening workforce by consistently developing and sustaining cooperative working relationships with subordinates and peers across functions.

Aim to foster commitment, pride, trust and respect within TSA.

Drive the message that people-teamwork-workplace-recruitment and training help to create an engaged, results oriented, security focused and diverse workforce and continue to develop an adaptive and flexible counterterrorism workforce that is professional, hardworking and of high integrity.

Achieved Expectations:

- Lead by example, modeling desired practices and standards in own behavior; set clear expectations for subordinates and hold them accountable for performance. collaboratively engage with peers, subordinates, and support organizations to drive continuous improvement in teamwork, threat mitigation and customer service. Documents efforts in BEAM and or BDO notebook.

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- Ensure daily briefings are conducted and include discussion items applicable to the BDA Shift Brief and other applicable items as deemed on the local TSA level.
- Collaborate with internal TSA such as TSOs, TSMs, TSIs and other participants to help foster a strong working relationship. Documents all collaborative efforts in BEAM or designated BDO designated notebook.
- Communicates all relevant SOP changes, best practices, and other information to enhance the team's daily operations and monitors the BDA IShare site on a weekly basis for updates and changes in the BDA program.
- During daily shift briefings, elicits ideas from the BDO workforce to improve security screening processes and procedures, while allowing them to have ownership of the process. Documents ideas for possible follow up action.
- Support and utilize Model Workplace and ICMS principles and methods.
- Ensures subordinate BDA TSMs have effective managerial, communication and interpersonal skills to supervise and develop a diverse workforce. Document actions done by you to help develop an effective management staff.
- Ensure a monthly BDO team meeting is established to include each session having an agenda that covers areas of the operation. Ensure officers have attended the session(s). To include the following, but not limited to:
 - Q & A session for the officers
 - Review of prior BDA referral incidents as it relates to BDA referral completion
 - Conduct discussions of operational set-up and practices that occurred or can be improved upon
 - Review/recap of the BDA monthly or bi-weekly conference call when applicable
- Establish a weekly meeting with the BDA TSMs to foster overall team collaboration and management growth.
- Coordinate with other internal TSA security entities to foster discussions and/or security planning sessions to include members from the Playbook staff, TSI, Assistant FSD-Law Enforcement (AFSD-LE), and other relevant personnel.
- Coordinate with the local TSA Stakeholder to assist with coordination where required.

Achieved Excellence:

- Meets the measures of Achieved Expectations at a higher level that demonstrates significant contributions to the security mission.
- Ensure review of town hall notes/agendas; staff meeting minutes or briefing notes; working group products in which issues/concerns were identified and handled respectfully.
- Collaborate with internal TSA such as TSOs, TSMs, TSIs and other participants to help foster a strong working relationship. Establish at a minimum of 1 reoccurring quarterly meeting with the screening workforce to provide an overview of the BDA process and partnership with the screening workforce. Purpose of this is to enhance the overall collaboration of the teamwork and to diffuse some concerns from the checkpoints and BDOs of a separation in functions.
- On a yearly basis engage the security stakeholders and utilize the BDA Program Office stakeholder briefing(s) located on the I-Share site.
- Encourage and monitor staff participation in career development activities and recommend that all staff have a current Individual Development Plan (IDP), career plan in place which are reviewed and updated annually.
- Ensure a personnel IDP is developed and sustained during the rating period.
- Develops enhanced security networks within a variety of TSA officials and stakeholders in a multi-modal environment.

Weight: 25%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal aligns:
Sustain programs in order to provide stability, compliance and team growth.

Achieved Expectations:

- Operate in accordance with BDA SOP to ensure effective execution of local BDA operations by: demonstrating knowledge of the SOP and all supporting documents/guidance, and; actively performing at least 8 hours of BDA each pay period by conducting Walk the Line (WTL), Behavior Observation, and Casual Conversation (CC) duties. Ensure this is tracked via BEAM and/or other repository.
- Ensure 100% of available employees are current in their applicable OLC required annual training.
- Enhance the capabilities of the local TSA leadership to make informed decisions by ensuring that all documents provided to local TSA senior leadership and if applicable OSO HQ and Regional Offices have undergone a quality assurance review prior to dissemination. This would also include accurate metric related information in reviewing and promoting referral information and incident reports.
- Ensure all referral reports and incidents are accurately written/documented to include ensuring information is reported into PARIS, TISS and the BDA PMIS database as required in the BDA SOP.
- Promote operational supervisory floor coverage by ensuring BDA supervisors remain engaged in the operation by providing supervisory oversight and applying coaching and mentoring. Ensure BDA Supervisors conduct BDA operations as applicable to the BDA SOP and ensure self and BDA TSMs adhere to BDA TSM floor coverage responsibilities as outlined in the BDA SOP.

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Achieved Excellence:

- Meets the measures of Achieved Expectations at a higher level that demonstrates significant contributions to the security mission.
- As a BDA TSM maintain an engaged, results oriented, security focused, and diverse workforce. Develops monthly activities that sustain cooperative working relationships with subordinates, peers, leaders, and across functions.
- Ensure the destruction and disposition schedule are developed and maintained regarding records based on TSA policies and procedures.
- Utilize performance measures and audits to develop employee's (BDA TSM) security awareness and to promote mentoring and coaching by reviewing the employees performance and identify ways to promote active engagement and mentoring with his or her staff.

Weight: 25%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Pursue business excellence through effective process management and the application of balanced measures. Improve the effectiveness of screening operations, ensure compliance with laws and regulations, strengthen financial controls, and provide assurance statements.

Achieved Expectations:

- Immediately implement corrective action plans in identified areas for improvement as it relates to PCA/OOI visits and/or internal audits. Ensure senior local TSA senior leadership have been informed of such areas of improvement and have been briefed on the course of action to correct the deficiency.
- Performs audits to ensure all SSI and accountable property is secured and tracked as required.
- Comply with applicable IT security and privacy laws, regulations and policies.
- In accordance with OSHA guidelines/comply with sound safety policies and procedures for reporting accidents, hazards, and dangerous work practices for employees.
- Adhere to TSA MDs, Policy, Core Values and Code of Conduct in an honest, trustworthy and ethical manner at all times.
- Administer the Employee Performance Management Program (EPMP) consistent with program requirements. During performance reviews, provide observation based and constructive performance feedback and recognition to subordinates on an ongoing basis. Ensure all TOPS reviews are completed with accordance to TSA Policy.
- Adhere to program oversight to include managing all aspects of BDA operations such as team member roles and responsibilities, information sharing, and metrics.
- Strengthen security objectives by 'exercising' internal control measures as required by Management Control Plan (MCOP), and conduct program reviews to ensure our mission and resources are protected against fraud, waste and abuse.
- *Ensure the completion of assigned MCOP are within established timeframes and ensures all submissions are accurate and complete.
- If applicable, ensure BDA TSM EPMPs meetings are conducted and documented each quarter as established within the designated time frame.

Achieved Excellence:

- Meets the measures of Achieved Expectations at a higher level that demonstrates significant contributions to the security mission.
- Improve efficiency and effectiveness of transportation security business and management services by documenting program oversight and standardizing audit processes outlined above in Achieved Expectations. This includes but is not limited to ensuring MCOP is conducted with accordance to MCOP policy and requirements.
- Learns about current and emerging issues/developments in transportation security and applies knowledge to make technically sound operational decisions.
- Ensure time and attendance (T&A) records are correctly reviewed and approved by managers/supervisors according to current TSA policies and procedures.
- *Ensure that in accordance with the annual Management Control Objective Plan (MCOP) self-assessment or other review of existing controls, there is a developed and implemented corrective actions to address any deficiencies and weaknesses identified, including the use of TSA Form 3103 Corrective Action Plan (CAP), as appropriate.

Weight: 25%

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:

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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):

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

Rating Official Signature _____ Date _____
Rating Official Comments:

I have discussed my performance plan with my Rating Official.

Employee Signature _____ Date _____
Employee Comments:

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

Rating Official Signature _____ Date _____
Rating Official Comments:

Employee Signature _____ Date _____
Employee Comments:

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A progress review discussion occurred.

Employee Signature _____ Date _____
Employee Comments:

Rating Official Signature _____ Date _____
Rating Official Comments:

An Interim Evaluation discussion occurred.

Rating Official Signature _____ Date _____
Rating Official Comments:

Employee Signature _____ Date _____
Employee Comments:

**Department of Homeland Security
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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.

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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
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Rating Official Information

Last Name	First Name	Middle Initial
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Organization	Position Title
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Reviewing Official Information

Last Name	First Name	Middle Initial
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Organization	Position Title
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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.

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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.

2011 Department of Homeland Security Performance Plan and Appraisal

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.>

TDC Qualification FAQ Sheet July 22, 2013

- Effective July 22, 2013, Officers are required to retake the entire TDC Overall Curricula after two unsuccessful attempts at earning a passing score on the end of training TDC job knowledge check.

What happens if an Officer continues to be unsuccessful with becoming TDC Qualified?

- The Officer remains unqualified and cannot perform TDC duties until they become TDC Qualified.
- The Supervisor of Record/Rating Official must address the Officer's inability to qualify and perform TDC functions and the resulting inability to perform the full range of screening functions as a performance issue, unless there is evidence of misconduct (*e.g.*, intentional refusal to perform, intentional avoidance of remediation).
- For performance appraisal purposes the Supervisor of Record/Rating Official must take immediate and appropriate actions and document what actions were taken to address the Officer's inability to perform the full range of screening functions.
- The Supervisor of Record/Rating Official should use available tools, resources, and processes to address performance deficiencies. The Officer is accountable for successfully earning and maintaining TDC qualification so that the Officer can perform the full range of screening functions and meet performance standards.
- The Supervisor of Record/Rating Official is encouraged to contact the local Employee Relations point-of-contact and local field counsel, and/or the Employee Relations staff at TSA HQ Office of Human Capital for assistance.

Are Officers performing TDC functions at SPP airports required to be TDC Qualified?

- Yes.

How will the TDC training be assigned to the Officers?

- Each airport will need to manually assign one of the two TDC curriculums to each Officer, depending upon which is appropriate.
 - **TDC Overall Curricula** – This curriculum is for new hires and those Officers not currently performing TDC duties.
Curriculum ID: SCR-TDC-TRAINING
Curriculum Title: Travel Document Checker (TDC) Overall Curricula
 - **TDC Differences Overall Curricula** – This curricula is for those Officers currently performing TDC duties but have yet to complete this new standardized requirement for qualification.
Curriculum ID: SCR-TDC-DIFF-TNG
Curriculum Title: Travel Document Checker (TDC) Diff Overall Curricula

How will New Hire Dual Function and Single Function Passenger TSOs, LTSOs and STSOs receive TDC training?

TDC Qualification FAQ Sheet July 22, 2013

- While it is recommended that airports conduct TDC training in conjunction with the new hire training period (this strategy allows new hire Officers the ability to rotate to the TDC function prior to completing their required New Hire OJT) airports may also choose to wait until the new hire Officer has certified in all required functions before conducting TDC training. This decision is at the discretion of the FSD. Regardless of the decision, all new hire Dual Function and Single Function Passenger TSOs, LTSOs and STSOs must complete their TDC training and an initial end of training TDC job knowledge check within 30 days of earning their initial certifications.
- When determining when to conduct TDC training it is important to note that the Office of Training and Workforce Engagement (OTWE) will cover the additional day of travel support/expense required for any new hire TSO traveling to a hub airport for NHTP that is required to also complete the TDC training. Any STI travel to spoke airports to deliver TDC training would be an FSD funded/approved action.

How will Single Function Baggage TSOs, LTSOs, STSOs, BDOs, and non-uniformed TSA personnel receive TDC Training?

- New hires and current Single Function Baggage TSOs, LTSOs, STSOs, BDOs, and non-uniformed TSA personnel (who have not previously been trained to perform TDC but who may become qualified per FSD discretion) will complete the TDC Overall Curricula.

If Officers and/or non-uniformed TSA personnel have already completed or started the TDC training, what should they do?

- There has been no change to the TDC training curriculum, so there is no need to re-do the training. If you are currently conducting the training, continue as is.
- Any Officer, who has already passed the TDC Job Knowledge Test (JKT), even if it was on the third attempt, is considered TDC qualified.
- Effective July 22, 2013, Officers and non-uniformed TSA personnel are required to retake the entire TDC Overall Curricula after two unsuccessful attempts at earning a passing score on the end of training TDC job knowledge check.

**Department of Homeland Security
Employee Performance Plan and Appraisal Form**

Employee Information

October 1, 2013 - September 30, 2014

**Start - End
Employee Performance Appraisal Period**

Last Name	First Name	Middle Initial	
	SV	1802	F-G
Employee Identification Number (consult component for specific use)	Pay Plan	Occupational Series	Grade
TSA/OSO	Behavior Detection Officer		
Organization	Position Title	Duty Location/Airport Code	

Rating Official Information

Last Name	First Name	Middle Initial	
	TSA/OSO		
Organization	Position Title		

Reviewing Official Information

Last Name	First Name	Middle Initial	
	TSA/OSO		
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, OPM/GOVT-2 Employee Performance File System Records. Disclosure: Voluntary.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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: ATTENTION TO DETAIL

Is thorough and precise when accomplishing a task with concern for all aspects of the job involved; double-checks the accuracy of information and work products to provide consistently accurate and high quality work.

Performance Standards

- **Achieved Expectations** Recognizes and accurately assesses the environmental baseline as established in the SPOT SOP. Is thorough and precise in the observation of behaviors and calculation of associated points; and as necessary, confers and concurs with partner. Confers and concurs with partner to complete all SPOT-related reports in an accurate and timely manner.
- **Achieved Excellence** Recognizes and accurately assesses multiple environmental baselines simultaneously under unusual or changing circumstances and/or involving multiple variables. Serves as a role model and/or peer-to-peer coach to fellow BDOs in the observation of behaviors and the calculation of associated points. Serves as a role model and peer-to-peer coach to fellow BDOs in the accurate and timely completion of all SPOT-related reports.

Core Competency 2: DECISIVENESS

Makes well-informed, effective, and timely decisions, even when data are limited or solutions produce unpleasant consequences.

Performance Standards

- **Achieved Expectations** Makes decisions using SPOT SOPs, directives and policies. Makes decisions by distinguishing between relevant and irrelevant information and using sound judgment based on facts and data. Provides management and internal/external stakeholders (i.e., anyone who has an interest in transportation security, including but not limited to the traveling public, all TSA staff and management, local law enforcement, the local airport authority, and air carrier personnel) with accurate information. Recommends sound responses/solutions based on available information. Seeks guidance for complex situations to gain assistance with decision making. Takes responsibility for own decisions.
- **Achieved Excellence** Uses SPOT SOPs, directives, and policies to exercise good judgment and encourage good judgment in others by making effective and timely decisions. Recommends sound responses/solutions based on available information. Identifies and analyzes underlying and/or potential causes of issues to improve operations and/or avoid unnecessary challenges. Documents decisions and communicates to the appropriate internal/external stakeholders (i.e., anyone who has an interest in transportation security, including but not limited to the traveling public, all TSA staff and management, local law enforcement, the local airport authority, and air carrier personnel) to enhance transparency, build credibility, prevent misunderstandings, and minimize claims of misconduct and/or preferential treatment. Serves as a role model and/or peer-to-peer coach to encourage and model good judgment and decision-making skills to aid fellow BDOs fulfill TSA’s mission. Takes responsibility for own decisions; and, assists in defusing escalating situations by providing appropriate resolutions and explaining the logic used in making those decisions.

Core Competency 3: INTEGRITY/HONESTY

Behaves in an honest, fair and ethical manner; shows consistency in words and actions; models high standards of ethics.

Performance Standards

Department of Homeland Security Employee Performance Plan and Appraisal Form

- **Achieved Expectations** Respects and maintains confidentiality. Tells the truth and is consistently honest in dealings with internal and external parties and stakeholders (i.e., anyone who has an interest in transportation security, including but not limited to the traveling public, all TSA staff and management, local law enforcement, the local airport authority, and air carrier personnel.) Keeps promises and commitments made to others. Does the right thing even when it is difficult. Does not yield to pressure to show bias or to manipulate others. Does not misrepresent self or use position or authority for personal gain. Meets expectations for adhering to ethical standards in the workplace, as defined by the *TSA Guide to Major Ethics Rules 2013*.
- **Achieved Excellence** Respects and maintains confidentiality. Tells the truth and is consistently honest in dealings with internal and external parties and stakeholders (i.e., anyone who has an interest in transportation security, including but not limited to the traveling public, all TSA staff and management, local law enforcement, the local airport authority, and air carrier personnel.) Keeps promises and commitments made to others. Does the right thing even when it is difficult. Does not yield to pressure to show bias or to manipulate others. Does not misrepresent self or use position or authority for personal gain. Meets expectations for adhering to ethical standards in the workplace, as defined by the *TSA Guide to Major Ethics Rules 2013*. By example and role-modeling, encourages co-workers and others to earn trust and respect through consistent honesty in interactions with internal and external parties and stakeholders (i.e., anyone who has an interest in transportation security, including but not limited to the traveling public, all TSA staff and management, local law enforcement, the local airport authority, and air carrier personnel.)

Core Competency 4: INTERPERSONAL SKILLS

Treats others with courtesy, sensitivity, and respect; considers and responds appropriately to the needs and feelings of different people in different situations.

Performance Standards

- **Achieved Expectations** Responds appropriately to challenging, and/or adversarial situations with others. Is tactful, polite, empathetic, and treats others with respect. Responds professionally to internal/external stakeholders (i.e., anyone who has an interest in transportation security, including but not limited to the traveling public, all TSA staff and management, local law enforcement, the local airport authority, and air carrier personnel.) Builds rapport with a diverse audience.
- **Achieved Excellence** Anticipates challenging, contentious, and/or adversarial situations with others and takes proactive steps to reduce or prevent negative impacts to the goals and objectives of TSA. Is tactful, polite, empathetic, diplomatic, and treats others with respect, particularly under unusual, complex or stressful conditions. Takes a lead role in resolving difficult situations. Encourages others to respond professionally and diplomatically to distraught and/or disruptive internal/external stakeholders (i.e., anyone who has an interest in transportation security, including but not limited to the traveling public, all TSA staff and management, local law enforcement, the local airport authority, and air carrier personnel.) Serves as a role model and/or peer-to-peer coach to help others build rapport quickly and without difficulty with a diverse audience in order to gather information to assess potential threats.

Core Competency 5: ORAL COMMUNICATION

Makes clear and convincing oral presentations; listens effectively, clarifies information as needed.

Performance Standards

- **Achieved Expectations** Actively listens to and clarifies information effectively, to resolve observed behaviors and/or appearance factors, and to confirm or dispel the presence of unusual items through casual conversation. Considers all factors, including environment, audience, nature of the situation, and outcome, when exchanging information. Provides information to internal/external stakeholders (i.e., anyone who has an interest in transportation security, including but not limited to the traveling public, all TSA staff and management, local law enforcement, the local airport authority, and air carrier personnel) and asks clarifying questions to ensure own understanding.
- **Achieved Excellence** Serves as a role model and/or peer-to-peer coach for others to listen to and clarify information effectively to resolve observed behaviors and/or appearance factors and to confirm or dispel the presence of unusual items through casual conversation. Considers all factors while communicating effectively should there be difficult situations, to clarify the problem and identify appropriate actions/procedures, and to provide clear, convincing and appropriate responses. Listens to fellow BDOs' perspectives with regard to the impact of management decisions; and, communicates those perspectives to management in a professional and unbiased manner.

Core Competency 6: TEAMWORK

Works co-operatively with others to achieve shared goals; openly share information, knowledge, and expertise with the team; puts team goals ahead of individual/personal goals.

Performance Standards

**Department of Homeland Security
Employee Performance Plan and Appraisal Form**

- **Achieved Expectations** Completes individual duties and works cooperatively with others to achieve collective goals. Openly shares relevant, useful, critical information and knowledge with TSA team members. Works cooperatively and professionally with internal/external stakeholders (i.e., anyone who has an interest in transportation security, including but not limited to the traveling public, all TSA staff and management, local law enforcement, the local airport authority, and air carrier personnel.)
- **Achieved Excellence** Serves as a role model and/or peer-to-peer coach by taking a lead role to work cooperatively with others. Offers to take on additional tasks to ensure that team goals and TSA objectives are achieved. Serves as a role model and/or peer-to-peer coach by proactively sharing relevant, useful, critical information and knowledge with TSA team members. Uses expertise to assist the team to reach shared goals. Takes a lead role to promote and facilitate cooperative and professional work relationships between and among internal/external stakeholders (i.e., anyone who has an interest in transportation security, including but not limited to the traveling public, all TSA staff and management, local law enforcement, the local airport authority, and air carrier personnel.)

Department of Homeland Security Employee Performance Plan and Appraisal Form

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):

Performs applicable security functions related to the screening of people, property, and/or cargo through the use and application of TSA standard operating procedures (SOPs), directives, and techniques in order to deter foreign and domestic terrorists and other individuals from causing harm or disrupting the transportation system and/or its users.

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

OSO Strategic Plan Goal 1. Risk Based Security: Improve mission effectiveness by implementing risk-based, intelligence-driven security initiatives across all transportation modes.

Achieved Expectations:

Demonstrates knowledge of established Operations Directives (ODs) and Standard Operating Procedures (SOPs) in the performance of official duties. Properly applies any SOP and/or OD in which previous knowledge and/or application of the SOP and/or OD has been demonstrated. Through any action or inaction is not the direct cause of a security breach; reports breaches and SOP violations immediately. Ensures that the behaviors associated with a documented violation of an SOP and/or OD that has the potential to present an immediate and significant risk to life, safety, or the security of the transportation network are corrected so that the documented violation does not occur a second time during the rating period.

Achieved Excellence:

Demonstrates knowledge of established Operations Directives (ODs) and Standard Operating Procedures (SOPs) in the performance of official duties. Properly applies any SOP and/or OD in which previous knowledge and/or application of the SOP and/or OD has been demonstrated. Through any action or inaction is not the direct cause of a security breach; reports breaches and SOP violations immediately. Has zero documented violations of an SOP and/or OD that has the potential to present an immediate and significant risk to life, safety, or the security of the transportation network during the rating period. Has at least one documented instance per quarter during the rating period of assisting others with the accurate application of SOP procedures. Is considered by leadership, supervisors, and/or peers as being an expert with respect to the screening of people, property, and/or cargo.

Weight: 50 %

Comments (If appropriate):

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

Demonstrates professionalism and commitment to TSA's mission in order to promote public trust and confidence.

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

OSO Strategic Plan Goal 2. Workforce Engagement: Continue to develop an adaptive and flexible counterterrorism workforce that is professional, hard-working and of high integrity.

Achieved Expectations:

Fosters public trust and credibility by providing responsive service to internal/external customers and in accordance with TSA directives; maintains a positive demeanor and awareness while conducting assigned screening functions and operations, as observed by supervision; diffuses potentially disruptive situations promptly and tactfully. Identifies and reports observed weaknesses in security screening procedures, suspicious activity, issues of loss, theft and damage to assigned areas, to direct supervisor or other designated official immediately, or as soon as possible.

Achieved Excellence:

Fosters public trust and credibility by providing responsive service to internal/external customers and in accordance with TSA directives; maintains a positive demeanor and awareness while conducting assigned screening functions and operations, as observed

Department of Homeland Security Employee Performance Plan and Appraisal Form

by supervision; diffuses potentially disruptive situations promptly and tactfully. Identifies and reports observed weaknesses in security screening procedures, suspicious activity, issues of loss, theft and damage to assigned areas, to direct supervisor or other designated official immediately, or as soon as possible. Actively identifies, communicates, and assists the agency with implementing quality improvements that promote public trust and credibility.

Weight: 15 %

Comments (If appropriate):

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

Continuously develops, enhances and reinforces job-related knowledge and skills in order to support TSA's mission.

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

OSO Strategic Plan Goal 1. Risk Based Security: Improve mission effectiveness by implementing risk-based, intelligence-driven security initiatives across all transportation modes.

Achieved Expectations:

Completes assigned mandatory classroom and OLC training within required completion dates. Participates in assigned training; engages in and/or initiates discussion that improves own understanding of material. Demonstrates the application of new or recurrent learning to improve the performance of assigned work tasks by incorporating new knowledge into daily activities.

Achieved Excellence:

Completes assigned mandatory classroom and OLC training within required completion dates. Actively participates in assigned training; engages in and/or initiates discussion that improves own understanding of material. Demonstrates the application of new or recurrent learning to improve the performance of assigned work tasks by incorporating new knowledge into daily activities. Assists peers with the application of new or recurrent learning objectives. Collaborates with peers and supervisor to target specific areas for improvement. Seeks information on current TSA strategies, initiatives, policies, and technologies and shares this information with their peers.

Weight: 15 %

Comments (If appropriate):

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

Follows established policies, procedures and guidelines when completing reports and forms in order to maintain the efficiency of operations and ensure valid and reliable data is available for analysis and reporting.

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

OSO Strategic Plan Goal 3. Organizational Efficiency: Implement organizational and management efficiencies that support optimal allocation of limited resources.

Achieved Expectations:

Completes SPOT related reports, including BDO Notebook entries, accurately and in a timely manner, per established standards. Conducts data entry duties as described in the SPOT SOP. Completes administrative duties, record keeping and other official documents to standard; e.g. Leave Forms.

Achieved Excellence:

Completes SPOT related reports, including BDO Notebook entries, independently, accurately and in a timely manner, per established standards. Conducts data entry duties as described in the SPOT SOP. Completes administrative duties, record keeping and other official documents to standard; e.g. Leave Forms. Routinely mentors and/or coaches peers to improve administrative efficiencies, such as less edit/revision time and fewer recurring errors.

Weight: 20 %

Comments (If appropriate):

**Department of Homeland Security
Employee Performance Plan and Appraisal Form**

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

Rating Official Signature _____ Date _____
Rating Official Comments:

I have discussed my performance plan with my Rating Official.

Employee Signature _____ Date _____
Employee Comments:

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

Rating Official Signature _____ Date _____
Rating Official Comments:

Employee Signature _____ Date _____
Employee Comments:

A progress review discussion occurred.

Employee Signature _____ Date _____
Employee Comments:

Rating Official Signature _____ Date _____
Rating Official Comments:

An Interim Evaluation discussion occurred.

Rating Official Signature _____ Date _____
Rating Official Comments:

Employee Signature _____ Date _____

**Department of Homeland Security
Employee Performance Plan and Appraisal Form**

Employee Comments:

Please use the **Rating Summary and Calculation Sheet** (i.e., **FY 2014 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.

**Department of Homeland Security
Employee Performance Plan and Appraisal Form**

Employee Information

1/1/2014 - 9/30/2014

**Start - End
Employee Performance Appraisal Period**

Last Name	First Name	Middle Initial	
	SV	1801	
Employee Identification Number (consult component for specific use)	Pay Plan	Occupational Series	Grade
DHS / TSA	BDA TSM		
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, OPM/GOVT-2 Employee Performance File System Records. Disclosure: Voluntary.

Department of Homeland Security Employee Performance Plan and Appraisal Form

Core Competencies

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: 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 facilitate 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 *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): RISK BASED SECURITY

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Improve mission effectiveness by implementing risk-based, intelligence-driven security initiatives across all transportation modes. This applies to risk based security-driven execution of internal and external efforts to achieve support for, and execution of, intelligence driven, risk based security efforts to include current operational processes. (Rating: All of the following expectations are applicable to the H and I band BDA TSMS-Additionally, items marked with an asterisk (*) are applicable to the I band)

Achieved Expectations:

- Collaborate with TSA programs and security stakeholders to enhance the layered security capability to conduct risk-based deployments and to strengthen the airport's security posture. Include assessment tools in making risk based decisions.
- Coordinate with other internal TSA security entities to foster discussions and/or security planning sessions to include members from the Playbook staff, TSI, Assistant FSD-Law Enforcement (AFSD-LE), and other relevant personnel.
- Coordinate with the local Field Intelligence Office (FIO), National Information Officer (NIO) and/or AFSD-LE, where available, to receive available intelligence information and ensure 95% of the BDO staff receive monthly security briefings.
- Ensure BDOs are familiar with risk based security initiatives and how behavior detection supports the process.
- On a daily basis encourage stakeholder engagement with both internal and external entities by fostering overall communication.

Achieved Excellence:

- Meets the standards of Achieved Expectations at a higher level that demonstrates significant contributions to the security mission.
- Identifies potential security vulnerability gaps and submits recommendations/mitigations through the BDA Coordinator and local TSA leadership.
- Coordinate with the local Field Intelligence Office (FIO), National Information Officer (NIO) and/or AFSD-LE, where available, to receive available intelligence information and ensure 100% of the BDO staff receive monthly security briefings.
- Develops enhanced security networks within a variety of TSA officials and stakeholders in a multi-modal environment.
- Clearly demonstrates knowledge of and implements senior leadership's plan to mitigate risk and incorporates risk based strategies into BDO deployment scheduling.

Weight: 25%

Comments (If appropriate):

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

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

Maintain an engaged, results oriented, security focused, and diverse screening workforce by consistently developing and sustaining cooperative working relationships with subordinates and peers across functions. Aim to foster commitment, pride, trust and respect within TSA. Drive the message that people-learn-work-workplace-recruitment and training help to create an engaged, results oriented, security focused and diverse workforce and continue to develop an adaptive and flexible counterterrorism workforce that is professional, hardworking and of high integrity. (Rating: All of the following expectations are applicable to the H and I band STSMS-Additionally, items marked with an asterisk (*) are applicable to the I band)

Achieved Expectations:

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- As a BDA TSM lead by example, modeling desired practices and standards in own behavior; set clear expectations for subordinates and hold them accountable for performance. Collaboratively engage with peers, subordinates, and support organizations to drive continuous improvement in teamwork, threat mitigation and customer service.
- Ensure daily briefings are conducted and include discussion items applicable to the BDA Bi-Weekly Shift Brief and other applicable items as deemed on the local TSA level.
- Establish a weekly meeting with the EBDs to foster overall team collaboration and growth.
- Collaborate with internal TSA such as TSOs, TSMs, TSIs and other participants to help foster a strong working relationship.
- Communicate all relevant SOP changes, best practices, and other information to enhance the team's daily operations and routinely monitor the BDA IShare site for updates and changes in the BDA program.
- Elicit ideas from the BDO workforce to improve security screening processes and procedures, while allowing them to have ownership of the process.
- Support and utilize Model Workplace and ICMS principles and methods.
- **Ensures subordinate BDA TSMs (as applicable) have effective managerial, communication and interpersonal skills to supervise and develop a diverse workforce as based on the result of a BDA TSM Audit.
- Ensure a monthly BDO team meeting is established to include each session having an agenda that covers areas of the operation. 85% of the officers have attended the session(s). To include the following, but not limited to:
 - a. Q & A session for the officers
 - b. Review of prior SPOT referral incidents as it relates to SPOT referral completion
 - c. discussion of operational set-up and practices that occurred or can be improved upon
 - d. A review/recap of the BDA monthly or bi-weekly conference call when applicable
- **Establish a weekly meeting with the BDA TSMs to foster overall team collaboration and management growth.

Achieved Excellence:

- Meets the measures of Achieved Expectations at a higher level that demonstrates significant contributions to the security mission.
- Provide opportunity for assigned Behavior Detection Officers (BDO) to participate in one developmental program(s) to increase retention and continue to build and retain a highly skilled and diverse workforce, capable of sustaining operations and effectively executing assigned missions.
- Collaborate with internal TSA such as TSOs, TSMs, TSIs and other participants to help foster a strong working relationship. Establish at a minimum of 1 reoccurring quarterly meeting with the screening workforce to provide an overview of the SPOT process and partnership with the screening workforce. Purpose of this is to enhance the overall collaboration of the teamwork and to diffuse some concerns from the checkpoints and BDOs of a separation in functions.
- Ensure an IDP is developed and sustained during the rating period.
- **On a yearly basis engage the security stakeholders and utilize the BDA Program Office stakeholder briefing(s) located on the I-Share site.
- **Encourage and monitor staff participation in career development activities and recommend that all staff have a current Individual Development Plan (IDP), career plan in place which are reviewed and updated annually.

Weight: 25%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*.
Sustain programs in order to provide stability, compliance and team growth.
(Rating: All of the following expectations are applicable to the H and I band BDA TSMs)

Achieved Expectations:

- Operate in accordance with SPOT SOP to ensure effective execution of local BDA operations by: demonstrating knowledge of SPOT SOP; fulfilling all requirements in SPOT SOP Section 2.4 STSM Duties, and; actively performing at least 8 hours of SPOT each pay period by conducting Walk the Line (WTL), Behavior Observation, and Casual Conversation (CC) duties. Ensure this is tracked via BEAM and/or other repository.
- Successfully qualify on one BDO Job Knowledge Test (JKT) during the performance year.
- Ensure 100% of available employees are current in their applicable OLC required annual training.
- Enhance the capabilities of the local TSA leadership to make informed decisions by ensuring that all documents provided to local TSA senior leadership and if applicable OSO HQ and Regional Offices have undergone a quality assurance review prior to dissemination. This would also include accurate metric related information in reviewing and promoting referral information and incident reports.
- Ensure all referral reports and incidents are accurately written/documented to include ensuring information is reported into PARIS, TISS and the SPOT database as required in the SPOT SOP.

Achieved Excellence:

- Meets the measures of Achieved Expectations at a higher level that demonstrates significant contributions to the security mission.

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- Utilizes performance measures and audits to develop employee's security awareness by reviewing SPOT referral reports, incident reports, PEC information and other applicable information.
- As a BDA TSM maintain an engaged, results oriented, security focused, and diverse workforce. Consistently developing and sustaining cooperative working relationships with subordinates, peers, leaders, and across functions. Fostering commitment, pride, trust and respect within TSA.

Weight: 25%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Pursue business excellence through effective process management and the application of balanced measures. Improve the effectiveness of screening operations, ensure compliance with laws and regulations, strengthen financial controls, and provide assurance statements.
(Rating: All of the following expectations are applicable to the H and I band BDA TSMs-Additionally, items marked with an asterisk (*) are applicable to the I band)

Achieved Expectations:

- Strengthen security objectives by 'exercising' internal control measures as required by Management Control Plan (MCOP), and conduct program reviews to ensure our mission and resources are protected against fraud, waste and abuse.
- Completes assigned MCOP assignments within established timeframes and ensures all submissions are accurate and complete.
- Immediately implement corrective action plans in identified areas for improvement as it relates to PCA visits and/or internal audits. Document and provide all corrective action plans to the BDA Coordinator for review.
- Performs audits to ensure all SSI and accountable property is secured and tracked as required.
- Comply with applicable IT security and privacy laws, regulations and policies.
- In accordance with OSHA guidelines/comply with sound safety policies and procedures for reporting accidents, hazards, and dangerous work practices for employees.
- Administer Transportation Officer Performance System (TOPS) for all eligible employees consistent with program requirements. During performance reviews, provide observation based and constructive performance feedback and recognition to subordinates on an ongoing basis.
- Integrity-Adheres to TSA MDs, Policy, Core Values and Code of Conduct in an honest, trustworthy and ethical manner at all times.
- **If applicable, Administer the Employee Performance Management Program (EPMP) consistent with program requirements. During performance reviews, provide observation based and constructive performance feedback and recognition to subordinates on an ongoing basis.
- **Provide program oversight to include managing all aspects of BDA operations such as team member roles and responsibilities, information sharing, and metrics.

Achieved Excellence:

- Meets the measures of Achieved Expectations at a higher level that demonstrates significant contributions to the security mission.
- Improves efficiency and effectiveness of transportation security business and management services by providing comprehensive leadership, oversight and support to programs. Learns about current and emerging issues/developments in transportation security and applies knowledge to make technically sound operational decisions and report findings to the SPOT Coordinator when applicable.
- **Conduct all audits as required by the SPOT SOP in-addition ensure all processes are accurate, documented and completed as it relates to the following: a. ensure a written process is in place for proper storage of SPOT referral and SPOT incident reports b. ensure a process is in place to review referral reports, SPOT incident reports, entries made into the PMLS database, TISS and PARIS
- Ensure 100% of TOPS related meetings are conducted and documented each quarter as established within the designated time frame.
- **If applicable, ensure 100% of the BDA TSM EPMPs meetings are conducted and documented each quarter as established within the designated time frame.

Weight: 25%

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:

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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):

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):

**Department of Homeland Security
Employee Performance Plan and Appraisal Form**

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

Rating Official Signature _____ Date _____
Rating Official Comments:

I have discussed my performance plan with my Rating Official.

Employee Signature _____ Date _____
Employee Comments:

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

Rating Official Signature _____ Date _____
Rating Official Comments:

Employee Signature _____ Date _____
Employee Comments:

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A progress review discussion occurred.

Employee Signature _____ Date _____
Employee Comments:

Rating Official Signature _____ Date _____
Rating Official Comments:

An Interim Evaluation discussion occurred.

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**.

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