

Department of Homeland Security Employee Performance Plan and Appraisal Form

General Information

This form is used to document the performance appraisal process for Department of Homeland Security employees. It is to be completed by the employee and the rating official. The form is to be submitted to the Office of Personnel Management (OPM) for processing.

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/GOV1-2 Employee Performance File System Records. Disclosure: Voluntary.

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Core Competencies

Core competencies are the skills, knowledge, and abilities that are essential for success in the Department of Homeland Security. They are the foundation of the Department's mission and are the basis for the performance standards used in the Employee Performance Plan and Appraisal Form. The core competencies are divided into three categories: Core Competency 1: Attention to Detail, Core Competency 2: Decisiveness, and Core Competency 3: Integrity/Honesty. Each core competency is further defined by performance standards and is weighted equally in the overall performance rating.

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

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- **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. (b)(3) 49 U.S.C. § 114(r) 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. (b)(3) 49 U.S.C. § 114(r) 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

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- **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.)

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Performance Goals

Performance goals are specific, measurable, and achievable statements of what is to be accomplished. They are used to evaluate an employee's performance and to provide feedback. Performance goals should be assigned to each employee and should be reviewed and updated as needed. Performance goals should be assigned to each employee and should be reviewed and updated as needed.

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

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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):

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Performance Plan Acknowledgements & Comments

For the employee to complete after discussion with the Rating Official.

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:

Mid-Cycle Review Acknowledgements

For the employee to complete after discussion with the Rating Official.

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:

Progress Review Acknowledgements & Comments (optional)

For the employee to complete after discussion with the Rating Official.

A progress review discussion occurred.

Employee Signature _____ Date _____

Employee Comments:

Rating Official Signature _____ Date _____

Rating Official Comments:

Interim Evaluation Acknowledgements & Comments (as appropriate)

Complete this section if you are a Supervisory or Management employee. If you are a Supervisory or Management employee, you are required to discuss your performance with your Rating Official at least once during the performance period. If you are a Supervisory or Management employee, you are required to discuss your performance with your Rating Official at least once during the performance period. If you are a Supervisory or Management employee, you are required to discuss your performance with your Rating Official at least once during the performance period.

An Interim Evaluation discussion occurred.

Rating Official Signature _____ Date _____

Rating Official Comments:

Employee Signature _____ Date _____

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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.