

# Department of Homeland Security Employee Performance Plan and Appraisal Form

**General Information**

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

| Employee Information   |                       |                            |              |
|--|-----------------------|----------------------------|--------------|
| -  |                       |                            |              |
| <b>Start – End<br/>Employee Performance Appraisal Period</b>                                 |                       |                            |              |
|  |                       |                            |              |
| <b>Last Name</b>   | <b>First Name</b>     | <b>Middle Initial</b>      |              |
|  |                       |                            |              |
| <b>Employee Identification Number</b><br><small>(consult component for specific use)</small> | <b>Pay Plan</b>       | <b>Occupational Series</b> | <b>Grade</b> |
|  |                       |                            |              |
| <b>Organization</b>  | <b>Position Title</b> | <b>Duty Location</b>       |              |
| Rating Official Information  |                       |                            |              |
|  |                       |                            |              |
| <b>Last Name</b>   | <b>First Name</b>     | <b>Middle Initial</b>      |              |
|  |                       |                            |              |
| <b>Organization</b>  | <b>Position Title</b> |                            |              |
| Reviewing Official Information   |                       |                            |              |
|  |                       |                            |              |
| <b>Last Name</b>   | <b>First Name</b>     | <b>Middle Initial</b>      |              |
|  |                       |                            |              |
| <b>Organization</b>  | <b>Position Title</b> |                            |              |

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## Core Competencies

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

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

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

### Core Competency 1: COMMUNICATION

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

#### Performance Standards

- **Achieved Expectations** Applies effective listening skills and appropriately responds when communicating with others. Solicits, shows respect for, and carefully considers others ideas, comments, and questions within scope of work. Effectively explains or defends viewpoint when necessary. Independently prepares and delivers communications that are clear, concise, and timely. Writes communications that generally require few substantive or editorial revisions.
- **Achieved Excellence** Additions at the Achieved Excellence level: Accurately reads and assesses more ambiguous situations and responds effectively. Effectively explains or defends viewpoint to audiences who hold opposing views. Independently and effectively tailors communication style (e.g., language, tone, and level of specificity) and customizes communications to the audience.

### Core Competency 2: CUSTOMER SERVICE

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

#### Performance Standards

- **Achieved Expectations** Reaches out to customers to gather information about their requirements and needs; develops and delivers products or provides services to meet those needs in a timely manner. Discusses expectations with customers, keeps customers informed of problems that could impede progress, and suggests workable solutions. Responds to questions or requests from customers within reasonable time frames. Displays flexibility in responding to changing customer needs.
- **Achieved Excellence** Additions at the Achieved Excellence level: Independently develops creative and useful ideas that add significant value to products and services. Anticipates customer needs and resolves or avoids potential problems, maximizing customer satisfaction.

### Core Competency 3: REPRESENTING THE AGENCY

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

#### Performance Standards

- **Achieved Expectations** Presents a professional image of the agency when interacting with others, fostering trust and credibility. In unpredictable situations, stays calm and handles somewhat difficult, tense, or emergency situations with good judgment and professionalism. Takes effective steps to defuse or resolve confrontational situations in a manner that reflects positively on the agency.
- **Achieved Excellence** Additions at the Achieved Excellence level: Takes action to effectively manage difficult, tense, or emergency situations. Engages with others in a manner that earns their respect and helps to advance the Agency’s goals and objectives.

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### **Core Competency 4: TEAMWORK AND COOPERATION**

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

#### **Performance Standards**

- **Achieved Expectations** Contributes to achieving goals by working collaboratively with others and building effective partnerships across organizational boundaries. Independently offers assistance and provides support to advance goals. Deals with everyone fairly, equitably, and professionally, respecting and valuing individual differences and diversity. Effectively handles disagreements or conflicts, resolving them in a constructive manner. Consults with senior team members or supervisors when appropriate and makes viable recommendations for resolving differences.
- **Achieved Excellence** Additions at the Achieved Excellence level: Collaborates beyond what is expected resulting in high-impact contributions. Contributes to a climate of trust and skillfully develops productive relationships and networks that advance goals. Anticipates situations with potential for conflict and takes effective steps to minimize escalation. Considers all sides of issues and develops effective compromises or resolutions.

### **Core Competency 5: TECHNICAL PROFICIENCY**

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

#### **Performance Standards**

- **Achieved Expectations** Successfully applies knowledge and skills (including use of technology and tools) to independently perform a full range of assignments; seeks guidance as appropriate. Uses formal or informal feedback on own performance to develop job skills that facilitate achieving results. Demonstrates an understanding of the applicable organizations mission, functions, and values, the interrelationships between various units and organizations, and relevant policies/procedures (to include, as appropriate, responsibilities toward the protection of classified national security information); uses this knowledge to carry out a full range of work assignments. Demonstrates working knowledge of the resources available to perform work; identifies and acquires needed resources, and ensures that use of resources is efficient and consistent with the planned project or activity. Effectively gathers complete and relevant information from appropriate sources to address issues or problems. Effectively analyzes information to identify issues, weigh alternatives, and draw logical conclusions; anticipates and resolves a full range of problems or issues. Makes well-reasoned, timely decisions and recommendations affecting own work.
- **Achieved Excellence** Additions at the Achieved Excellence level: Successfully applies depth and breadth of knowledge to independently perform even highly complex or varied assignments at this level. Accomplishes tasks in a highly efficient and effective manner and makes high impact contributions. Continually broadens and enhances expertise, resulting in performing more complex work activities. Takes initiative to expand knowledge about resources available and makes useful suggestions that increase efficiency. Identifies and uses effective methods to gather information in a highly efficient manner. Regularly and correctly identifies key issues; anticipates and identifies alternative solutions for problems that have a variety of viable solutions. Seeks opportunities to participate in addressing more complex problems.

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## Performance Goals

This section allows entry for up to 5 *critical* Performance Goals for the employee. If more than 5 *critical* goals need to be added, please use the Additional Goals/Comments section located on the last page of this document. Please use the tab key to navigate from field to field. Please refer to the Annual Appraisal and Rating of Record section of this document to view the rating given to each *critical* goal.

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

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

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

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

National Security/Fraud Detection: Maintains the integrity and security of the immigration system through detection and deterrence of immigration-related fraud. Accurately applies national security and public safety laws, regulations and policies through interviews, security checks, document reviews, and other actions in accordance with established guidelines.

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Strategic Goal 1: Strengthen the security and integrity of the immigration

#### Achieved Expectations:

- Consistently identifies and addresses benefit fraud and national security concerns
- Accurately applies national security and public safety laws, regulations, policies, and procedures and ensures these are effectively applied throughout the adjudication process, including during interviews, security checks, document reviews, and other actions
- Ensures cases are adjudicated or units of work are completed in a timely manner and that decisions are made in accordance with established guidelines; correctly refers cases using appropriate processes
- Collaborates with Fraud Detection and National Security (FDNS) and other entities, as appropriate, resulting in the resolution of national security concerns

#### Achieved Excellence:

In addition to achieving expectations, the employee also:

- Promotes the security and integrity of the immigration system through sharing fraud or national security issues and trends with peers and supervisors, as appropriate
- Provides detailed supporting information and key indicators such that findings of fraud are further strengthened
- Independently conducts research to provide necessary and critical technical advice and guidance in the screening and vetting of sensitive, complex, and problematic applications/petitions
- Recommends viable process improvements to better detect and deter fraud and/or enhance national security

Weight: 40%

Comments (If appropriate):

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

Quality and Customer Service: Accurately applies the appropriate rules, regulations, precedent decisions, policies, and procedures associated with the Immigration and Nationality Act (INA) in the timely completion of work assignments.

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Strategic Goal 2: Provide effective customer-oriented immigration benefit and information services

#### Achieved Expectations:

- Completes work assignments that are well-reasoned, clear, concise, legally sufficient, procedurally correct, and are made in accordance with rules, regulations, policies, and procedures
- Reviews and verifies documents for clarity and accuracy prior to customer contact
- Facilitates customer service by ensuring that work assignments are completed in a timely manner and that any delays are due to good cause
- Completes routine cases or work assignments, seeking guidance from a senior officer or supervisor when necessary to ensure the proper completion of the work
- Accurately records customer interactions and case histories

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- Performs work with minimal errors
- With minimal supervision, remains compliant with all laws, regulations, and policies with respect to security, privacy, and civil rights
- Completes and updates administrative reports, systems, and security reporting requirements in accordance with applicable regulations and procedures to ensure consistent compliance

### **Achieved Excellence:**

In addition to achieving expectations, the employee also:

- Effectively communicates accurate information on highly technical immigration issues, laws, regulations, and policies to stakeholders
- Independently completes complex or difficult cases
- Promoting a Community of Practice contributing to process improvements and supporting fellow officers

Weight: 30%

Comments (If appropriate):

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

Contribution to the USCIS Mission: Contributes to the achievement of the USCIS mission through effective teamwork and collaboration.

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Strategic Goal 6: Operates as a high-performance organization that promotes a highly talented workforce and a dynamic work culture

### **Achieved Expectations:**

- Contributes to the USCIS mission and assists in the achievement of goals through effective teamwork and collaboration
- Works collaboratively with and is supportive of coworkers; promotes a team atmosphere
- Interacts with customers and stakeholders with professionalism

### **Achieved Excellence:**

In addition to achieving expectations, the employee also:

- Voluntarily takes initiative to lead a team at the local level
- Proactively seeks challenging assignments and engages in activities that further career development
- Performs work of high quality, shares skills and knowledge with coworkers, and is sought as a resource
- Makes contributions to the USCIS mission through advanced knowledge of subject matters, leadership and ability to effectively improve operation

Weight: 30%

Comments (If appropriate):

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

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

### **Achieved Expectations:**

### **Achieved Excellence:**

Weight: %

Comments (If appropriate):

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

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

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**Achieved Expectations:**

**Achieved Excellence:**

Weight:     %

Comments (If appropriate):

## **Additional Goals (*as appropriate*)**

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

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

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

**Achieved Expectations:**

**Achieved Excellence:**

Weight:     %

Comments (If appropriate):

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

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

**Achieved Expectations:**

**Achieved Excellence:**

Weight:     %

Comments (If appropriate):

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## Performance Plan Acknowledgements & Comments

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

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

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

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

**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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**Progress Review Acknowledgements & Comments (optional)**

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

**A progress review discussion occurred.**

Employee Signature \_\_\_\_\_ Date \_\_\_\_\_  
Employee Comments:

Rating Official Signature \_\_\_\_\_ Date \_\_\_\_\_  
Rating Official Comments:

**Interim Evaluation Acknowledgements & Comments (as appropriate)**

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

**An Interim Evaluation discussion occurred.**

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.***