

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

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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** Listens and appropriately responds to questions and concerns from others. Shows respect for others ideas, comments, and questions. With guidance, prepares and delivers basic communications that may require some revisions.
- **Achieved Excellence** Additions at the Achieved Excellence level: Accurately reads and assesses situations and responds effectively. Effectively explains viewpoint when necessary. Independently prepares and delivers routine communications that are clear, concise, and timely. Effectively tailors the amount and format of information included in straightforward communications to meet the audiences’ needs.

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** Effectively and appropriately interacts with customers, as directed, to understand their needs and provide them with routine or less complex information, products, or services in a timely manner. With guidance, seeks input to clarify customer needs. Keeps supervisor informed of customer-related issues, as appropriate.
- **Achieved Excellence** Additions at the Achieved Excellence level: Takes initiative to learn about and engage with customers; provides high-quality service. Recognizes and addresses potential issues or inconsistencies in customer needs. Displays flexibility in responding to changing customer needs.

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 when interacting with others. In predictable situations where roles are well defined, handles interactions with others in a tactful and calm manner.
- **Achieved Excellence** Additions at the Achieved Excellence level: Demonstrates a high degree of professionalism and tact when dealing with others in less predictable situations. Takes effective steps to defuse or resolve confrontational situations in a manner that reflects positively on the agency.

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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 accomplishing goals by working collaboratively with others. Deals with everyone fairly, equitably, and professionally, respecting and valuing individual differences and diversity. Handles minor disagreements or conflicts in a professional manner; consults senior team members or supervisors on more difficult situations.
- **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 develops relationships with others that result in more effective team performance. Effectively defuses or avoids conflicts.

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 basic knowledge and skills (including use of technology and tools) to perform more routine assignments within own occupational specialty, seeking guidance as appropriate. As directed, develops job skills that facilitate achieving results. Demonstrates a basic understanding of the applicable organizations 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. Is generally familiar with the basic resources needed to perform own work, and uses resources as directed to complete own work in an efficient manner. With guidance, effectively gathers relevant information from routine sources and analyzes information to identify reasonable solutions for issues or problems at this level. Makes well-reasoned decisions in situations involving own specialized work.
- **Achieved Excellence** Additions at the Achieved Excellence level: Successfully performs advanced tasks with minimal supervision. Continually broadens and enhances job skills, resulting in performing more complex work activities. Takes initiative to discover and make useful suggestions about ways to use resources more efficiently in performing own work. Effectively conducts routine analyses and presents recommendations on issues with minimal supervision; seeks opportunities and takes initiative to assist 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. Each performance goal is *critical*, which means that an Unacceptable determination in *any one goal* results in an overall Unacceptable Rating. If more than 5 Performance Goals need to be added, please use the "Additional Goals/Comments" section located at the end of this document. Please use the tab key to navigate from field to field. Please refer to the Performance Appraisal Rating Summary and Calculation Sheet (i.e., the ratings calculator) to view the rating given to each critical performance goal.

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

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

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

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

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 system

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*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

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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.