

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

*With Honor and Integrity, we will safeguard the American people, our homeland and our values.*

**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.*

**Core Competencies**

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*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.*

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| <p><i>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.</i></p>   |
| <p><b>Achieved Expectations</b> <i>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.</i></p> <p><b>Achieved Excellence</b> <i>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.</i></p>  |
|  |
| <p><i>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.</i></p>  |
| <p><b>Achieved Expectations</b> <i>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.</i></p> <p><b>Achieved Excellence</b> <i>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</i></p> |
|  |
| <p><i>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.</i></p>  |

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**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.*

*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.*

**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*

*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*

**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.*

**Performance Goals**

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*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):** *Quality: 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 3: Ensure fair and efficient adjudication of benefits and delivery of information.*

### **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*
- *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:*

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- *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: 35%

Comments (If appropriate):

### **Performance Goal 2 (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 2: Safeguarding the homeland by deterring, detecting, and addressing vulnerabilities in 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: 35%

Comments (If appropriate):

**Performance Goal 3 (provide a brief statement of what is to be achieved – Outcomes/Results):** *Timeliness: Complete cases in timely manner to further the Asylum Division's compliance with deadlines imposed by statute, regulation, policy, and procedure for all matters under its jurisdiction.*

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*Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal aligns: Strategic Goal 3: Ensure fair and efficient adjudication of benefits and delivery of information.*

**Achieved Expectations:** *Asylum officer submits cases in a timely fashion at or greater than 75% of the time but less than 85% of the time.*

**Achieved Excellence:** *Asylum Officer submits cases in a timely fashion equal to or greater than 92% of the time.*

*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):*

**Additional Goals (as appropriate)**

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*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.*

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**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** ([Ratings Calculator](#)) located on the DHS Intranet (or your Component's Intranet) to document the evaluation score 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 each Performance Plan document in order to complete the employee's appraisal and Rating of Record.***