

FOIA/PA Case Approving and Rebuttal Process

October 20, 2020



**U.S. Citizenship
and Immigration
Services**

Case Approving Overview

- Each Government Information Specialist (GIS) receives FOIA/PA Case Processing Training.
- The FOIA/PA Case Processing Training is conducted by the Knowledge Management Group.
- First 90 days: The assigned FOIA/PA Operations Supervisor will monitor and review the cases processed by the GIS employee. In addition, the Supervisor and assigned Team Mentor(s) will provide ongoing training and assistance. During this period, the Supervisor will determine when it is appropriate to send the completed cases directly to the approver queue.



Case Approving Overview

- Once completed cases begin to go into the general case approver queue; FIRST randomly chooses pages in the responsive records to review when approving cases.



Case Approver Checklist

FIRST Worksheet Section (left side of screen):

- Verify the name of the requester and subject of record are entered correctly on the FIRST worksheet.
- Verify the address on the request matches the FIRST worksheet.
- Verify bureau, source, and category on the FIRST worksheet.
- Verify that we have appropriate consent and verification of identity (VOI), when necessary, in the request.



Case Approver Checklist

Verification of Information provided in request as compared to Responsive Records/A-file contents:

- Verify that the subject of record's name, date of birth, country of birth and parents (if available) from the request match the Responsive Records/A-file contents.
- Verify that the request is processed under the correct statute FOIA or PA (based only on the Responsive Records).



Case Approver Checklist

Review of applied FOIA/PA Exemptions, Referrals and Out of Scope pages:

- Review the FIRST worksheet for any odd exemption(s) applied to the record i.e. (b)(1), (b)(7)(D), etc.
- Review the random exemptions chosen by FIRST or if not available
 - Review 10 instances of (b)(5) exemption(s) applied to the record.
 - Review 10 instances of (b)(7)(E) exemption(s) applied to the record.
 - Review 10 instances of (b)(3) exemption(s) applied to the record.
 - Review 5% of records marked as Referred to another agency.



Case Approver Checklist

Review of Referral and Final Action Letters:

- Confirm that all information in the Final Action Letter is updated and correct.
 - i.e. all edits made to the standard letter template match up with information that is provided in the FIRST Summary tab.
- Check Referral Letter(s) that contain, or may contain, exemption and appeal information.



Case Approver Actions

Each case is reviewed by the Approvers. Resulting in ONE of the following actions:

- Case Approval
 - There will be NO Discussion in FIRST; if NO action has been taken by the Approver.
 - The case will simply be closed/approved—as is.



Case Approver Actions

Each case is reviewed by the Approvers. Resulting in ONE of the following actions:

- 1
 - This is the Discussion Title used when an Approver has made minimal changes in a case.
 - A Supervisor will communicate the changes made by an Approver to their Case Processor.
 - Examples of Changes Made:
 - Changes to the FIRST Worksheet—Updating the bureau, adding bookmarks
 - Changes to the Responsive Records—Updating an exemption, making a redaction, etc.
 - Changes to a Referral or Final Action Letter—Checking boxes to insert information into the Final Action Letter or Referral letter



Case Approver Actions

Each case is reviewed by the Approvers. Resulting in ONE of the following actions:

- 2
 - This is the Discussion Title used when the Approver has determined that substantial changes are needed in a case
 - This case will then be returned to the Case Processor for revisions.



Example of “1”

- The Approver can see redactions have been applied to this document.
- However, the User ID is not redacted.
- The Approver will redact the User ID.
- Then the Approver will add a Discussion, titled: “1”.

US-VISIT - FIN Lookup for [redacted] Page 11 of 11

GrTa.Tot

DHS APPREHEND					
(Click to Enlarge) Encounter ID:		Bio Data			
[redacted]		Name			
DOB	Nationality / Birth Place	Citizenship			
	MEXICO / XX				
Gender	Race	Height (ins.)			
M					
Weight (lbs.)	Eye Color	Hair Color			
Status					
Recidivist					
Derogatory Data					
Source	Charge Code	Type	Entry Date	Expiration Date	User ID
DHS APPREHEND		Recidivist	2000 March 2 12:12 PM		
Apprehension Method	Apprehended By		Entry Status	Time Length	
ICB			PWAM		
Comments					
Source	Type	Entry Date	User ID		
DHS APPREHEND	COM	2000 March 2 12:12 PM	[redacted]		
1 of 10 off a GROWERS LABOR BUS #10, I-8, mm29					
Transaction Data					
Date Finger Printed	Site Code	Terminal ID	Date Loaded	Reason Finger Printed	
	WEL		2000 March 2 12:12 PM		

GrTa.Tot

(b)(7)(c)
(b)(7)(e)

Hold name here too

(b)(7)(e)

<https://apps.usvisit.dhs.gov/visit/showFINLookup.do?fin=5386569&showAll=NO> 7/21/2015



Example of “2”

- The Approver can see this request is Missing VOI.
- There is no signature under penalty of perjury OR before a Notary.
- The Approver will add a Discussion, titled: “2”.
- This case will be returned to the Case Processor for correction.

Revision Required

15/18/2016 10:00:53 AM [Edit | Reply]

Missing VOI.

No signature under penalty of perjury or notarized provided with request.
Close case as FC.



Error Assessment Guide

- Supervisors will receive the weekly error report and use this guide to determine if corrections to cases should be counted as errors.
- Not an Error are corrections that include
 - Withholding a document in full that should have been partially redacted
 - Isolated releases of PII, law enforcement names and results

ERROR ASSESSMENT GUIDE

This document is intended to provide guidance to supervisors in assessing errors toward the processor's accuracy rate. This is guidance only and final error assessment rests with GS-13 managers.

Not an error: These errors will not count toward the processor's accuracy rate unless a pattern of frequent infractions exist (constituted by 3 or more instances within same case OR frequent release of same infraction across multiple cases). The following are examples of errors that fall under this category:

- Withholding in full a document that should have been partially redacted
- Isolated release of PII, including law enforcement names and results
- Failure to follow guidance on case note summaries
- Failure to apply correct exemptions to redacted material
- Incorrect referral
- Incorrect processing of documents that originate or belong to other agencies (i.e. CBP, DOS, BOP, USM, etc.)
- Failure to refer information to another agency
- Not providing all of the specific documents requested (3 or less) if the documents are located in the file

Error: These errors will count toward the processor's accuracy rate. The following are examples of errors that fall under this category:

- Failure to redact material found in investigative or law enforcement type documents that if released, would cause significant harm. (i.e. jeopardize an investigation or disclose sensitive third party investigative material).
- 3 or more releases of law enforcement results within a case
- Releasing National Security Information
- Processing a case as a FOIA when the subject is a PA and vice versa
- Processing a case without Subjects consent
- Processing an incorrect record or A# from what was requested
- Closing a specific document request as a no record, where the document requested is located in the file
- Incorrect letter format, spelling, punctuation, failure to add correct verbiage to final action letter (i.e. BCC, NVC, Media, Specific Documents requested, etc.)
- Failure to appropriately bookmark LHM, CARRP or Trig
- Failure to bookmark VOI
- Any case processed that results in a SIR (PII or National Security spill) will be considered a **critical error** at the time the SIR is identified.



Error Assessment Guide

- Not an Error are corrections that include
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Error Assessment Guide

ERROR ASSESSMENT GUIDE

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 - Processing a case as a FOIA when the subject is a PA and vice versa
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Disagree with the Approver?

You have the right to disagree

- If the Supervisor and/or the Case Processor does not agree with the “1” or “2” Discussion from the Case Approver
- The Supervisor and Case Processor should discuss the topic of disagreement
- Based on the outcome of the Supervisor/Case Processor discussion; the Case Processor can request the FOIA Approver Rebuttal Form from their Supervisor
- Please send Approver Rebuttals forms to the KMG Supervisors, Lyne McBride and Beth Wilson



Filling out the Rebuttal Form

- Fill out the top boxes
- Supervisor Name
- Today's Date
- Control Number
- Page Number(s)
- Type of Document
- Task: Case Processing

USCIS FOIA
Rebuttal Form
Choose an item

Name [Click here to enter text]	Today's Date [Click here to enter a date]
Control Number [Click here to enter text]	
Page Number(s) [Click here to enter text]	
Type of Document(s) [Click here to enter text]	Task [Click here to enter text]

Disposition/Explanation [Click here to enter text]	Completed By [Click here to enter text]
---	---

Analysis/Response [Click here to enter text]	Completed By [Click here to enter text]
---	---

Conclusion/Retaliation/Other [Click here to enter text]	Completed By [Click here to enter text]
--	---

Additional Comments/Notations [Click here to enter text]	Completed By [Click here to enter text]
---	---



Filling out the Rebuttal Form

- In the First box, Description/Explanation
 - Copy the Approver's Case Note
- In the Second box, Analysis/Response
 - Put your reasoning as to why this is not an error
- Once the FOIA Approving Rebuttal Form is complete the Case Processor's Supervisor will forward it to the Knowledge Management Supervisors.



USCIS FOIA
Rebuttal Form
Change an Item

Name [Click here to enter text]	Today's Date [Click here to enter a date]
Control Number [Click here to enter text]	
Page Number(s) [Click here to enter text]	
Type of Document(s) [Click here to enter text]	Task [Click here to enter text]

Description/Explanation [Click here to enter text]	Completed By [Click here to enter text]
---	---

Analysis/Response [Click here to enter text]	Completed By [Click here to enter text]
---	---

Conclusion/Retraction/Other [Click here to enter text]	Completed By [Click here to enter text]
---	---

Additional Comments/Notations [Click here to enter text]	Completed By [Click here to enter text]
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U.S. Citizenship and Immigration Services

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.

Employee Information			
- 9/30/2020			
Start – End Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
GS	303	5	
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
USCIS/IRIS/NRC/FOIA	FOIA/PA Assistant OA	Lee's Summit, MO	
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		
Reviewing Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		

Department of Homeland Security Employee Performance Plan and Appraisal Form

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 core competency is weighted equally and, together, make up 40% of the overall performance rating (The *critical* performance goals make up the other 60% of the overall performance rating of record, 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 communicating with 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) in ways that are appropriate to the audience.

Performance Standards

- **Achieved Expectations** Listens to questions and appropriately responds to or refers concerns from others; asks for clarification, when needed, to ensure understanding. Shows respect for others ideas, comments, and suggestions within scope of work. With guidance, prepares and delivers basic communications that may require some grammatical revisions.
- **Achieved Excellence** Additions at the Achieved Excellence level: Reads and assesses straightforward and clear situations and responds appropriately. Effectively explains viewpoint when necessary. Independently prepares and delivers routine communications that are clear, concise, and timely. Accurately follows instructions to format basic information.

CORE COMPETENCY 2: CUSTOMER SERVICE

Communicates with customers to understand their needs. Provides products and services that meet customer needs. Responds appropriately to customer questions and concerns. Provides responsive service to customers.

Performance Standards

- **Achieved Expectations** Effectively and appropriately interacts with customers, as directed, to understand their needs and provide them with appropriate information, products, or services in a timely manner. With guidance, seeks input from senior staff to clarify customer needs. Keeps supervisor informed of customer-related issues, as appropriate. Responds to questions or requests from customers within reasonable time frames. Displays some flexibility in responding to changing customer needs.
- **Achieved Excellence** Additions at the Achieved Excellence level: Takes initiative to learn about customer needs and provides high-quality service. Recognizes potential issues in customer needs and recommends alternative solutions.

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 external parties. Appropriately seeks assistance when dealing with external parties who are disgruntled or otherwise difficult to handle.
- **Achieved Excellence** Additions at the Achieved Excellence level: Demonstrates a high degree of professionalism and tact when dealing with external parties in somewhat unpredictable situations.

Department of Homeland Security Employee Performance Plan and Appraisal Form

CORE COMPETENCY 4: TEAMWORK AND COOPERATION

Makes positive contributions to achieving team goals. Develops and maintains collaborative working relationships with others. Works effectively with others from a variety of backgrounds and treats others fairly and professionally. Works constructively with others to reach mutually acceptable agreements or resolve conflicts.

Performance Standards

- **Achieved Expectations** Contributes to accomplishing goals by working collaboratively with others. Deals with everyone professionally, respecting and valuing individual differences and diversity. Handles minor disagreements or conflicts in a professional manner; consults senior staff on more difficult situations.
- **Achieved Excellence** Additions at the Achieved Excellence level: Collaborates beyond what is expected, resulting in high-impact contributions. Develops collaborative relationships with others that result in more effective team performance. Takes initiative to understand the causes of conflicts and suggests actions that help resolve them.

CORE COMPETENCY 5: TECHNICAL PROFICIENCY

Demonstrates and applies relevant knowledge and skills to perform work in accordance with applicable guidelines. Acquires new job-relevant knowledge and skills by participating in training or other opportunities for learning and development. Uses appropriate and available technology or tools to perform work activities. Stays up-to-date on developments relevant to own work. Demonstrates an understanding of how relevant organizational systems and processes work and operates effectively within them. Gathers, organizes, and maintains relevant information. Analyzes information to identify issues and draw sound conclusions. Identifies problems and generates solutions. Makes reasonable and timely decisions or recommendations. Identifies and utilizes new methods to accomplish work assignments, appropriate. Maintains an awareness of available resources and the process for acquiring needed resources. Identifies 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** Performs tasks in accordance with established procedures, seeking guidance as appropriate. As directed, develops job skills that facilitate achieving results. Demonstrates an understanding of basic organizational systems and processes that are relevant to own work (to include, as appropriate, responsibilities toward the protection of classified national security information) and operates effectively within them. With guidance, gathers relevant information from routine sources and maintains records or databases; effectively performs limited comparative analyses. Identifies problems and brings them to the attention of more senior staff. Is generally familiar with the basic resources needed to perform own work. Uses resources as directed to complete own work in an efficient manner.
- **Achieved Excellence** Additions at the Achieved Excellence level: Applies knowledge to enhance products or streamline processes. Continually broadens and enhances job skills, resulting in performing more complex work activities. Takes initiative to increase understanding of relevant organizational processes and applies them in helping to achieve own, team, or unit objectives. Takes initiative and proposes solutions or makes solid recommendations or decisions for addressing problems. Takes initiative to discover and make useful suggestions about ways to use resources more efficiently in performing own work.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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 performance goal must be assigned a share to equal 100% and, together, make up 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 make up 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 rules, regulations, precedent decisions, policies, and procedures to 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 4: Continuously improving key processes, programs, and systems

Achieved Expectations:

- Effectively applies basic knowledge of laws, regulations, policies, and procedures to work assignments
- Completes routine work products that are well-reasoned, clear, concise, procedurally correct, and are in accordance with all rules, regulations, directives, policies and procedures
- Facilitates customer service by ensuring that work assignments are completed in a timely manner and that any delays are due to good cause
- Performs routine assignments to ensure accurate and timely completion, seeking guidance when difficult situations arise
- Independently completes and updates all routine administrative reports, systems, and security reporting requirements in accordance with all rules, regulations, directives, policies and procedures with minimal errors

Achieved Excellence:

In addition to achieving expectations, the employee also:

- Effectively communicates accurate information on technical issues, laws, regulations, directives, and policies
- Independently completes difficult and/or complex assignments with clarity and accuracy
- Anticipates customer needs and develops effective approaches to meet or exceed those needs

Weight: 40%

Comments (If appropriate):

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

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: Creates an average of 3 cases per productive hour

Achieved Excellence: Creates an average of 5 cases per productive hour

Weight: 30%

Comments (If appropriate):

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

Department of Homeland Security Employee Performance Plan and Appraisal Form

Please insert the higher level *Goal*, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*. Strategic Goal 4: Continuously improving key processes, programs, and systems

Achieved Expectations: 93% of all cases are created without error

Achieved Excellence: 98% of all cases are created without error

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)

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):

Department of Homeland Security Employee Performance Plan and Appraisal Form

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**

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:

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

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:

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

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.

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.

Employee Information			
- 9/30/2020			
Start – End Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
GS	303	6	
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
USCIS/IRIS/NRC/FOIA	FOIA/PA Assistant OA	Lee's Summit, MO	
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		
Reviewing Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		

Department of Homeland Security Employee Performance Plan and Appraisal Form

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 core competency is weighted equally and, together, make up 40% of the overall performance rating (The *critical* performance goals make up the other 60% of the overall performance rating of record, 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 communicating with 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) in ways that are appropriate to the audience.

Performance Standards

- **Achieved Expectations** Listens to questions and appropriately responds to or refers concerns from others; asks for clarification, when needed, to ensure understanding. Shows respect for others ideas, comments, and suggestions within scope of work. With guidance, prepares and delivers basic communications that may require some grammatical revisions.
- **Achieved Excellence** Additions at the Achieved Excellence level: Reads and assesses straightforward and clear situations and responds appropriately. Effectively explains viewpoint when necessary. Independently prepares and delivers routine communications that are clear, concise, and timely. Accurately follows instructions to format basic information.

CORE COMPETENCY 2: CUSTOMER SERVICE

Communicates with customers to understand their needs. Provides products and services that meet customer needs. Responds appropriately to customer questions and concerns. Provides responsive service to customers.

Performance Standards

- **Achieved Expectations** Effectively and appropriately interacts with customers, as directed, to understand their needs and provide them with appropriate information, products, or services in a timely manner. With guidance, seeks input from senior staff to clarify customer needs. Keeps supervisor informed of customer-related issues, as appropriate. Responds to questions or requests from customers within reasonable time frames. Displays some flexibility in responding to changing customer needs.
- **Achieved Excellence** Additions at the Achieved Excellence level: Takes initiative to learn about customer needs and provides high-quality service. Recognizes potential issues in customer needs and recommends alternative solutions.

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 external parties. Appropriately seeks assistance when dealing with external parties who are disgruntled or otherwise difficult to handle.
- **Achieved Excellence** Additions at the Achieved Excellence level: Demonstrates a high degree of professionalism and tact when dealing with external parties in somewhat unpredictable situations.

Department of Homeland Security Employee Performance Plan and Appraisal Form

CORE COMPETENCY 4: TEAMWORK AND COOPERATION

Makes positive contributions to achieving team goals. Develops and maintains collaborative working relationships with others. Works effectively with others from a variety of backgrounds and treats others fairly and professionally. Works constructively with others to reach mutually acceptable agreements or resolve conflicts.

Performance Standards

- **Achieved Expectations** Contributes to accomplishing goals by working collaboratively with others. Deals with everyone professionally, respecting and valuing individual differences and diversity. Handles minor disagreements or conflicts in a professional manner; consults senior staff on more difficult situations.
- **Achieved Excellence** Additions at the Achieved Excellence level: Collaborates beyond what is expected, resulting in high-impact contributions. Develops collaborative relationships with others that result in more effective team performance. Takes initiative to understand the causes of conflicts and suggests actions that help resolve them.

CORE COMPETENCY 5: TECHNICAL PROFICIENCY

Demonstrates and applies relevant knowledge and skills to perform work in accordance with applicable guidelines. Acquires new job-relevant knowledge and skills by participating in training or other opportunities for learning and development. Uses appropriate and available technology or tools to perform work activities. Stays up-to-date on developments relevant to own work. Demonstrates an understanding of how relevant organizational systems and processes work and operates effectively within them. Gathers, organizes, and maintains relevant information. Analyzes information to identify issues and draw sound conclusions. Identifies problems and generates solutions. Makes reasonable and timely decisions or recommendations. Identifies and utilizes new methods to accomplish work assignments, appropriate. Maintains an awareness of available resources and the process for acquiring needed resources. Identifies 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** Performs tasks in accordance with established procedures, seeking guidance as appropriate. As directed, develops job skills that facilitate achieving results. Demonstrates an understanding of basic organizational systems and processes that are relevant to own work (to include, as appropriate, responsibilities toward the protection of classified national security information) and operates effectively within them. With guidance, gathers relevant information from routine sources and maintains records or databases; effectively performs limited comparative analyses. Identifies problems and brings them to the attention of more senior staff. Is generally familiar with the basic resources needed to perform own work. Uses resources as directed to complete own work in an efficient manner.
- **Achieved Excellence** Additions at the Achieved Excellence level: Applies knowledge to enhance products or streamline processes. Continually broadens and enhances job skills, resulting in performing more complex work activities. Takes initiative to increase understanding of relevant organizational processes and applies them in helping to achieve own, team, or unit objectives. Takes initiative and proposes solutions or makes solid recommendations or decisions for addressing problems. Takes initiative to discover and make useful suggestions about ways to use resources more efficiently in performing own work.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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 performance goal must be assigned a share to equal 100% and, together, make up 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 make up 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 rules, regulations, precedent decisions, policies, and procedures to 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 4: Continuously improving key processes, programs, and systems

Achieved Expectations:

- Effectively applies basic knowledge of laws, regulations, policies, and procedures to work assignments
- Completes routine work products that are well-reasoned, clear, concise, procedurally correct, and are in accordance with all rules, regulations, directives, policies and procedures
- Facilitates customer service by ensuring that work assignments are completed in a timely manner and that any delays are due to good cause
- Performs routine assignments to ensure accurate and timely completion, seeking guidance when difficult situations arise
- Independently completes and updates all routine administrative reports, systems, and security reporting requirements in accordance with all rules, regulations, directives, policies and procedures with minimal errors

Achieved Excellence:

In addition to achieving expectations, the employee also:

- Effectively communicates accurate information on technical issues, laws, regulations, directives, and policies
- Independently completes difficult and/or complex assignments with clarity and accuracy
- Anticipates customer needs and develops effective approaches to meet or exceed those needs

Weight: 40%

Comments (If appropriate):

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

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: Creates an average of 3.5 cases per productive hour

Achieved Excellence: Creates an average of 5.5 cases per productive hour

Weight: 30%

Comments (If appropriate):

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

Department of Homeland Security Employee Performance Plan and Appraisal Form

Please insert the higher level *Goal*, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*. Strategic Goal 4: Continuously improving key processes, programs, and systems

Achieved Expectations: 93% of all cases are created without error

Achieved Excellence: 98% of all cases are created without error

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)

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):

Department of Homeland Security Employee Performance Plan and Appraisal Form

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**

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:

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

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:

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

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**.

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Department of Homeland Security Employee Performance Plan and Appraisal Form

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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			
- 9/30/2020			
Start – End Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
GS	303	7	
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
USCIS/IRIS/NRC/FOIA	FOIA/PA Assistant OA	Lee's Summit, MO	
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		
Reviewing Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		

Department of Homeland Security Employee Performance Plan and Appraisal Form

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 core competency is weighted equally and, together, make up 40% of the overall performance rating (The *critical* performance *goals* make up the other 60% of the overall performance rating of record, and appear under the Performance Goals section of this document).

- 5 – **Achieved Excellence.** The employee performed as described by the “Achieved Excellence” standard.
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CORE COMPETENCY 1: COMMUNICATION

Actively listens and attends to nonverbal cues when communicating with 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) in ways that are appropriate to the audience.

Performance Standards

- **Achieved Expectations** Listens to questions and appropriately responds to or refers concerns from others; asks for clarification, when needed, to ensure understanding. Shows respect for others ideas, comments, and suggestions within scope of work. With guidance, prepares and delivers basic communications that may require some grammatical revisions.
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CORE COMPETENCY 2: CUSTOMER SERVICE

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Performance Standards

- **Achieved Expectations** Effectively and appropriately interacts with customers, as directed, to understand their needs and provide them with appropriate information, products, or services in a timely manner. With guidance, seeks input from senior staff to clarify customer needs. Keeps supervisor informed of customer-related issues, as appropriate. Responds to questions or requests from customers within reasonable time frames. Displays some flexibility in responding to changing customer needs.
- **Achieved Excellence** Additions at the Achieved Excellence level: Takes initiative to learn about customer needs and provides high-quality service. Recognizes potential issues in customer needs and recommends alternative solutions.

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 external parties. Appropriately seeks assistance when dealing with external parties who are disgruntled or otherwise difficult to handle.
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Department of Homeland Security Employee Performance Plan and Appraisal Form

CORE COMPETENCY 4: TEAMWORK AND COOPERATION

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Performance Standards

- **Achieved Expectations** Contributes to accomplishing goals by working collaboratively with others. Deals with everyone professionally, respecting and valuing individual differences and diversity. Handles minor disagreements or conflicts in a professional manner; consults senior staff on more difficult situations.
- **Achieved Excellence** Additions at the Achieved Excellence level: Collaborates beyond what is expected, resulting in high-impact contributions. Develops collaborative relationships with others that result in more effective team performance. Takes initiative to understand the causes of conflicts and suggests actions that help resolve them.

CORE COMPETENCY 5: TECHNICAL PROFICIENCY

Demonstrates and applies relevant knowledge and skills to perform work in accordance with applicable guidelines. Acquires new job-relevant knowledge and skills by participating in training or other opportunities for learning and development. Uses appropriate and available technology or tools to perform work activities. Stays up-to-date on developments relevant to own work. Demonstrates an understanding of how relevant organizational systems and processes work and operates effectively within them. Gathers, organizes, and maintains relevant information. Analyzes information to identify issues and draw sound conclusions. Identifies problems and generates solutions. Makes reasonable and timely decisions or recommendations. Identifies and utilizes new methods to accomplish work assignments, appropriate. Maintains an awareness of available resources and the process for acquiring needed resources. Identifies 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** Performs tasks in accordance with established procedures, seeking guidance as appropriate. As directed, develops job skills that facilitate achieving results. Demonstrates an understanding of basic organizational systems and processes that are relevant to own work (to include, as appropriate, responsibilities toward the protection of classified national security information) and operates effectively within them. With guidance, gathers relevant information from routine sources and maintains records or databases; effectively performs limited comparative analyses. Identifies problems and brings them to the attention of more senior staff. Is generally familiar with the basic resources needed to perform own work. Uses resources as directed to complete own work in an efficient manner.
- **Achieved Excellence** Additions at the Achieved Excellence level: Applies knowledge to enhance products or streamline processes. Continually broadens and enhances job skills, resulting in performing more complex work activities. Takes initiative to increase understanding of relevant organizational processes and applies them in helping to achieve own, team, or unit objectives. Takes initiative and proposes solutions or makes solid recommendations or decisions for addressing problems. Takes initiative to discover and make useful suggestions about ways to use resources more efficiently in performing own work.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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 performance goal must be assigned a share to equal 100% and, together, make up 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 make up 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 rules, regulations, precedent decisions, policies, and procedures to 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 4: Continuously improving key processes, programs, and systems

Achieved Expectations:

- Effectively applies basic knowledge of laws, regulations, policies, and procedures to work assignments
- Completes routine work products that are well-reasoned, clear, concise, procedurally correct, and are in accordance with all rules, regulations, directives, policies and procedures
- Facilitates customer service by ensuring that work assignments are completed in a timely manner and that any delays are due to good cause
- Performs routine assignments to ensure accurate and timely completion, seeking guidance when difficult situations arise
- Independently completes and updates all routine administrative reports, systems, and security reporting requirements in accordance with all rules, regulations, directives, policies and procedures with minimal errors

Achieved Excellence:

In addition to achieving expectations, the employee also:

- Effectively communicates accurate information on technical issues, laws, regulations, directives, and policies
- Independently completes difficult and/or complex assignments with clarity and accuracy
- Anticipates customer needs and develops effective approaches to meet or exceed those needs

Weight: 40%

Comments (If appropriate):

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

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: Creates an average of 4 cases per productive hour

Achieved Excellence: Creates an average of 6 cases per productive hour

Weight: 30%

Comments (If appropriate):

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

Department of Homeland Security Employee Performance Plan and Appraisal Form

Please insert the higher level *Goal*, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*. Strategic Goal 4: Continuously improving key processes, programs, and systems

Achieved Expectations: 93% of all cases are created without error

Achieved Excellence: 98% of all cases are created without error

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)

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):

Department of Homeland Security Employee Performance Plan and Appraisal Form

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**

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:

Department of Homeland Security Employee Performance Plan and Appraisal Form

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:

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

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.

**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.

Employee Information			
- 9/30/2020			
Start - End Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
	GS	306	5
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
USCIS/IRIS/NRC/FOIA	Government Info Specialist	Lee's Summit, MO	
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		
Reviewing Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		

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.

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

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.

- **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.

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.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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): Quality: Accurately applies rules, regulations, precedent decisions, policies, and procedures to 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 4: Continuously improving key processes, programs, and systems

Achieved Expectations:

- Effectively applies basic knowledge of laws, regulations, policies, and procedures to work assignments
- Completes routine work products that are well-reasoned, clear, concise, procedurally correct, and are in accordance with all rules, regulations, directives, policies and procedures
- Facilitates customer service by ensuring that work assignments are completed in a timely manner and that any delays are due to good cause
- Performs routine assignments to ensure accurate and timely completion, seeking guidance when difficult situations arise
- Independently completes and updates all routine administrative reports, systems, and security reporting requirements in accordance with all rules, regulations, directives, policies and procedures with minimal errors

Achieved Excellence: In addition to achieving expectations, the employee also:

- Effectively communicates accurate information on technical issues, laws, regulations, directives, and policies
- Independently completes difficult and/or complex assignments with clarity and accuracy
- Anticipates customer needs and develops effective approaches to meet or exceed those needs

Weight: 40%

Comments (If appropriate):

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

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: Processes an average of 50 pages per productive hour

Achieved Excellence: Processes an average of 66 pages per productive hour

Weight: 15%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*. Strategic Goal 4: Continuously improving key processes, programs, and systems

Department of Homeland Security Employee Performance Plan and Appraisal Form

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Achieved Expectations: 93% of all cases are processed without error

Achieved Excellence: 98% of all cases are processed without error

Weight: 15%

Comments (If appropriate):

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

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: Creates an average of 3 cases per productive hour

Achieved Excellence: Creates an average of 5 cases per productive hour

Weight: 15%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Strategic Goal 4: Continuously improving key processes, programs, and systems

Achieved Expectations: 93% of all cases are created without error

Achieved Excellence: 98% of all cases are created without error

Weight: 15%

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: %

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

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Comments (If appropriate):

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

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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:

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

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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:

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

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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.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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			
- 9/30/2020			
Start - End Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
	GS	306	7
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
USCIS/IRIS/NRC/FOIA	Government Info Specialist	Lee's Summit, MO	
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		
Reviewing Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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

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.

- **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.

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.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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): Quality: Accurately applies rules, regulations, precedent decisions, policies, and procedures to 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 4: Continuously improving key processes, programs, and systems

Achieved Expectations:

- Effectively applies basic knowledge of laws, regulations, policies, and procedures to work assignments
- Completes routine work products that are well-reasoned, clear, concise, procedurally correct, and are in accordance with all rules, regulations, directives, policies and procedures
- Facilitates customer service by ensuring that work assignments are completed in a timely manner and that any delays are due to good cause
- Performs routine assignments to ensure accurate and timely completion, seeking guidance when difficult situations arise
- Independently completes and updates all routine administrative reports, systems, and security reporting requirements in accordance with all rules, regulations, directives, policies and procedures with minimal errors

Achieved Excellence: In addition to achieving expectations, the employee also:

- Effectively communicates accurate information on technical issues, laws, regulations, directives, and policies
- Independently completes difficult and/or complex assignments with clarity and accuracy
- Anticipates customer needs and develops effective approaches to meet or exceed those needs

Weight: 40%

Comments (If appropriate):

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

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: Processes an average of 60 pages per productive hour

Achieved Excellence: Processes an average of 79 pages per productive hour

Weight: 15%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*. Strategic Goal 4: Continuously improving key processes, programs, and systems

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.

Achieved Expectations: 93% of all cases are processed without error

Achieved Excellence: 98% of all cases are processed without error

Weight: 15%

Comments (If appropriate):

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

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: Creates an average of 4 cases per productive hour

Achieved Excellence: Creates an average of 6 cases per productive hour

Weight: 15%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Strategic Goal 4: Continuously improving key processes, programs, and systems

Achieved Expectations: 93% of all cases are created without error

Achieved Excellence: 98% of all cases are created without error

Weight: 15%

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: %

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

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Comments (If appropriate):

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

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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:

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

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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:

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

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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.

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.

Employee Information			
- 9/30/2020			
Start - End Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
	GS	306	9
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
USCIS/IRIS/NRC/FOIA	Government Info Specialist	Lee's Summit, MO	
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		
Reviewing Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		

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.

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

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.

- **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.

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.

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.

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): Quality: Accurately applies rules, regulations, precedent decisions, policies, and procedures to 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 4: Continuously improving key processes, programs, and systems

Achieved Expectations:

- Effectively applies basic knowledge of laws, regulations, policies, and procedures to work assignments
- Completes routine work products that are well-reasoned, clear, concise, procedurally correct, and are in accordance with all rules, regulations, directives, policies and procedures
- Facilitates customer service by ensuring that work assignments are completed in a timely manner and that any delays are due to good cause
- Performs routine assignments to ensure accurate and timely completion, seeking guidance when difficult situations arise
- Independently completes and updates all routine administrative reports, systems, and security reporting requirements in accordance with all rules, regulations, directives, policies and procedures with minimal errors

Achieved Excellence: In addition to achieving expectations, the employee also:

- Effectively communicates accurate information on technical issues, laws, regulations, directives, and policies
- Independently completes difficult and/or complex assignments with clarity and accuracy
- Anticipates customer needs and develops effective approaches to meet or exceed those needs

Weight: 40%

Comments (If appropriate):

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

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: Processes an average of 75 pages per productive hour

Achieved Excellence: Processes an average of 99 pages per productive hour

Weight: 15%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*. Strategic Goal 4: Continuously improving key processes, programs, and systems

Department of Homeland Security Employee Performance Plan and Appraisal Form

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Achieved Expectations: 95% of all cases are processed without error

Achieved Excellence: 98% of all cases are processed without error

Weight: 15%

Comments (If appropriate):

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

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: Creates an average of 5 cases per productive hour

Achieved Excellence: Creates an average of 7 cases per productive hour

Weight: 15%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Strategic Goal 4: Continuously improving key processes, programs, and systems

Achieved Expectations: 95% of all cases are created without error

Achieved Excellence: 98% of all cases are created without error

Weight: 15%

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: %

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

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Comments (If appropriate):

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

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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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Employee Performance Plan and Appraisal Form**

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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:

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

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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.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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			
- 9/30/2020			
Start - End Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
GS	306	9	
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
USCIS/IRIS/NRC/FOIA	Government Info Specialist	Lee's Summit, MO	
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		
Reviewing Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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

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.

- **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.

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.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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): Quality: Accurately applies rules, regulations, precedent decisions, policies, and procedures to 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 4: Continuously improving key processes, programs, and systems

Achieved Expectations:

- Effectively applies basic knowledge of laws, regulations, policies, and procedures to work assignments
- Completes routine work products that are well-reasoned, clear, concise, procedurally correct, and are in accordance with all rules, regulations, directives, policies and procedures
- Facilitates customer service by ensuring that work assignments are completed in a timely manner and that any delays are due to good cause
- Performs routine assignments to ensure accurate and timely completion, seeking guidance when difficult situations arise
- Independently completes and updates all routine administrative reports, systems, and security reporting requirements in accordance with all rules, regulations, directives, policies and procedures with minimal errors

Achieved Excellence: In addition to achieving expectations, the employee also:

- Effectively communicates accurate information on technical issues, laws, regulations, directives, and policies
- Independently completes difficult and/or complex assignments with clarity and accuracy
- Anticipates customer needs and develops effective approaches to meet or exceed those needs

Weight: 40%

Comments (If appropriate):

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

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: Processes an average of 97 pages per productive hour

Achieved Excellence: Processes an average of 128 pages per productive hour

Weight: 30%

Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*. Strategic Goal 4: Continuously improving key processes, programs, and systems

Department of Homeland Security Employee Performance Plan and Appraisal Form

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Achieved Expectations: 93% of all cases are processed without error

Achieved Excellence: 98% of all cases are processed without error

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)

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):

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

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Employee Performance Plan and Appraisal Form**

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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:

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

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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:

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

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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.

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.

Employee Information			
- 9/30/2020			
Start – End Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
	GS	306	11
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
USCIS/IRIS/NRC/FOIA	Government Info Specialist	Lee's Summit, MO	
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		
Reviewing Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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

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.

- **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.

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.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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):

Quality: Accurately applies rules, regulations, precedent decisions, policies, and procedures to 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 4: Continuously improving key processes, programs, and systems

Achieved Expectations:

- Accurately applies advanced knowledge of laws, regulations, policies, and procedures to work assignments
- Completes work products that are well-reasoned, clear, concise, procedurally correct, and are in accordance with all rules, regulations, directives, policies and procedures
- Prepares a wide variety of complex and sensitive documents and other work products with clarity and accuracy
- Facilitates customer service by ensuring work assignments are completed in a timely manner, and any delays are due to good cause
- Independently and accurately completes assignments to ensure timely submission, seeking guidance in complex and sensitive situations
- Independently completes and updates all administrative reports, systems, and security reporting requirements in accordance with all rules, regulations, directives, policies and procedures with minimal errors

Achieved Excellence:

In addition to achieving expectations, the employee also:

- Independently researches and presents relevant information and accurately communicates technical issues, laws, regulations, directives, and policies to various audiences
- Effectively applies subject matter expertise to challenging and complex issues
- Anticipates customer needs and develops effective approaches to meet or exceed those needs
- Researches, analyzes and makes use of available resources to proactively complete difficult or complex assignments
- Performs work with minimal errors
- Effectively develops and presents briefings, reports and other materials to various audiences, as appropriate

Weight: 40%

Comments (If appropriate):

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

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: Processes an average of 122 pages per productive hour

Achieved Excellence: Processes an average of 160 pages per productive hour

Weight: 30%

Department of Homeland Security Employee Performance Plan and Appraisal Form

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Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Strategic Goal 4: Continuously improving key processes, programs, and systems

Achieved Expectations: 95% of all cases are processed without error

Achieved Excellence: 98% of all cases are processed without error

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*)

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):

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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*.

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

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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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Employee Performance Plan and Appraisal Form**

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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:

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

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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.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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			
- 9/30/2020			
Start – End Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
	GS	306	12
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
USCIS/IRIS/NRC/FOIA	Government Info Specialist	Lee's Summit, MO	
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		
Reviewing Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
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** 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

Department of Homeland Security Employee Performance Plan and Appraisal Form

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- **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.

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.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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):

Quality: Accurately applies rules, regulations, precedent decisions, policies, and procedures to 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 4: Continuously improving key processes, programs, and systems

Achieved Expectations:

- Accurately applies advanced knowledge of laws, regulations, policies, and procedures to work assignments
- Completes work products that are well-reasoned, clear, concise, procedurally correct, and are in accordance with all rules, regulations, directives, policies and procedures
- Prepares a wide variety of complex and sensitive documents and other work products with clarity and accuracy
- Facilitates customer service by ensuring work assignments are completed in a timely manner, and any delays are due to good cause
- Independently and accurately completes assignments to ensure timely submission, seeking guidance in complex and sensitive situations
- Independently completes and updates all administrative reports, systems, and security reporting requirements in accordance with all rules, regulations, directives, policies and procedures with minimal errors

Achieved Excellence:

In addition to achieving expectations, the employee also:

- Independently researches and presents relevant information and accurately communicates technical issues, laws, regulations, directives, and policies to various audiences
- Effectively applies subject matter expertise to challenging and complex issues
- Anticipates customer needs and develops effective approaches to meet or exceed those needs
- Researches, analyzes and makes use of available resources to proactively complete difficult or complex assignments
- Performs work with minimal errors
- Effectively develops and presents briefings, reports and other materials to various audiences, as appropriate

Weight: 40%

Comments (If appropriate):

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

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: Processes an average of 145 pages per productive hour

Achieved Excellence: Processes an average of 191 pages per productive hour

Weight: 30%

Department of Homeland Security Employee Performance Plan and Appraisal Form

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Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Strategic Goal 4: Continuously improving key processes, programs, and systems

Achieved Expectations: 95% of all cases are processed without error

Achieved Excellence: 99% of all cases are processed without error

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*)

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):

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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*.

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

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

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:

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

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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:

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

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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.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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			
- 9/30/2020			
Start – End Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
	GS	306	12
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
USCIS/IRIS/NRC/FOIA	Government Info Specialist	Lee's Summit, MO	
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		
Reviewing Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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

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

- **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.

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.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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):

Quality: Accurately applies rules, regulations, precedent decisions, policies, and procedures to 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 4: Continuously improving key processes, programs, and systems

Achieved Expectations:

- Accurately applies advanced knowledge of laws, regulations, policies, and procedures to work assignments
- Completes work products that are well-reasoned, clear, concise, procedurally correct, and are in accordance with all rules, regulations, directives, policies and procedures
- Prepares a wide variety of complex and sensitive documents and other work products with clarity and accuracy
- Facilitates customer service by ensuring work assignments are completed in a timely manner, and any delays are due to good cause
- Independently and accurately completes assignments to ensure timely submission, seeking guidance in complex and sensitive situations
- Independently completes and updates all administrative reports, systems, and security reporting requirements in accordance with all rules, regulations, directives, policies and procedures with minimal errors

Achieved Excellence:

In addition to achieving expectations, the employee also:

- Independently researches and presents relevant information and accurately communicates technical issues, laws, regulations, directives, and policies to various audiences
- Effectively applies subject matter expertise to challenging and complex issues
- Anticipates customer needs and develops effective approaches to meet or exceed those needs
- Researches, analyzes and makes use of available resources to proactively complete difficult or complex assignments
- Performs work with minimal errors
- Effectively develops and presents briefings, reports and other materials to various audiences, as appropriate

Weight: 40%

Comments (If appropriate):

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

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: Processes an average of 18 pages per productive hour

Achieved Excellence: Processes an average of 23 pages per productive hour

Weight: 30%

Department of Homeland Security Employee Performance Plan and Appraisal Form

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Comments (If appropriate):

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

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*: Strategic Goal 4: Continuously improving key processes, programs, and systems

Achieved Expectations: 95% of all cases are processed without error

Achieved Excellence: 99% of all cases are processed without error

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)

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):

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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*.

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

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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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Employee Performance Plan and Appraisal Form**

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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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Employee Performance Plan and Appraisal Form**

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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.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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			
- 9/30/2020			
Start – End Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
	GS	306	13
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
USCIS/IRIS/NRC/FOIA	Government Info Specialist	Lee's Summit, MO	
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
Organization	Position Title		
Reviewing Official Information			
Last Name	First Name	Middle Initial	
USCIS/IRIS/NRC/FOIA	Supervisory Government Information Specialist		
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** 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

Department of Homeland Security Employee Performance Plan and Appraisal Form

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- **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.

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

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- **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.

Department of Homeland Security Employee Performance Plan and Appraisal Form

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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):

Quality: Accurately applies rules, regulations, precedent decisions, policies, and procedures to 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 4: Continuously improving key processes, programs, and systems

Achieved Expectations:

- Accurately applies advanced knowledge of laws, regulations, policies, and procedures to work assignments
- Completes work products that are well-reasoned, clear, concise, procedurally correct, and are in accordance with all rules, regulations, directives, policies and procedures
- Prepares a wide variety of complex and sensitive documents and other work products with clarity and accuracy
- Facilitates customer service by ensuring work assignments are completed in a timely manner, and any delays are due to good cause
- Independently and accurately completes assignments to ensure timely submission, seeking guidance in complex and sensitive situations
- Independently completes and updates all administrative reports, systems, and security reporting requirements in accordance with all rules, regulations, directives, policies and procedures with minimal errors

Achieved Excellence:

In addition to achieving expectations, the employee also:

- Independently researches and presents relevant information and accurately communicates technical issues, laws, regulations, directives, and policies to various audiences
- Effectively applies subject matter expertise to challenging and complex issues
- Anticipates customer needs and develops effective approaches to meet or exceed those needs
- Researches, analyzes and makes use of available resources to proactively complete difficult or complex assignments
- Performs work with minimal errors
- Effectively develops and presents briefings, reports and other materials to various audiences, as appropriate

Weight: 50%

Comments (If appropriate):

Performance Goal 2 (provide a brief statement of what is to be achieved – Outcomes/Results): Productivity: Works collaboratively with FOIA requesters to develop a processing approach for complex requests. In this capacity, serves as primary negotiator in narrowing the scope of overly-broad requests. Negotiates with the requester to identify agreed upon search parameters. Works with program offices to staff for responsive records. Prepares written communication to capture agreed upon terms. Coordinates the review of records to insure all documents provided by program offices are responsive to the FOIA request being worked. Assesses the validity, reliability and relevance of material retrieved in response to requests.

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

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Achieved Expectations: Completes .037 cases per productive hour.

Achieved Excellence: Completes .074 cases per productive hour.

Weight: 50%

Comments (If appropriate):

Performance Goal 3 (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 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)

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.

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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):

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

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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:

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

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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:

**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.

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.



U.S. Citizenship
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FOIA FIRST METRICS



Union Demo

10/06/2020

Date/Role Selection



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Select Tab:

- Overview
 - Managers
 - Supervisors
- Creator
- Processor
- Approver (Coming Soon)

Select:

- Custom Date Range
- Preset Ranges
 - Today
 - Week
 - Month
 - Fiscal Year

The screenshot displays the 'FIRST DASHBOARD' for Daniel Edgington at the NRC / National Records Center. The dashboard includes several key metrics and filters:

- Dashboard Navigation:** DASHBOARD, PRINT MANAGER, UPLOAD DOCUMENTS.
- Filters:** Select Queue (Process), Select Office (NRC / National Records Center), and a START CASE button.
- Key Metrics:**
 - Pending Cases: 18,066
 - Daily Impact: +96
 - Processing Backlog: 20,735
 - Pending Approval: 537
 - Pending Admin Review: 86
- Role Selection:** Executive, Overview, **Creator** (selected), Processor, Approver.
- Filters for Daniel Edgington's Stats (for Today):**
 - Open Requests: 0
 - Completed Requests: 0
 - Filters: From (10/05/2020), To (10/06/2020), Today, Week, Month, Fiscal Year 2021 (dropdown menu open showing 2021, 2020, 2019, 2018).
- Charts:**
 - Cases Pended for Records: 0 Total
 - Requests Sent for Upfront Close: 0 Total

Performance Details & Metrics – Quick Links



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Key Data:

- Month Toggle
 - Turns on/off consolidated metrics for month over month review

3.43 hours
Creator Hours

17.51 cases
Cases per Hour

100 percent
Accuracy Rate

Last Updated: 10/05/2020 15:59:57

Performance Details & Metrics

Filter By

Total: 1-1 of 1

Month	Username	Team	Cases Created	Creator Hours	Cases/Hour	Deviation from Av...	Error Count	Accuracy
10/2020		Team Proactive Disc...	60	3.43	17.51	0		100

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My Case Information

Case History | Open Cases | Admin Queue | Locate Queue | Docs Pending | Complex Staffing | Pending Queue | Processing Queue | Approve Queue | In Litigation | General Counsel Queue

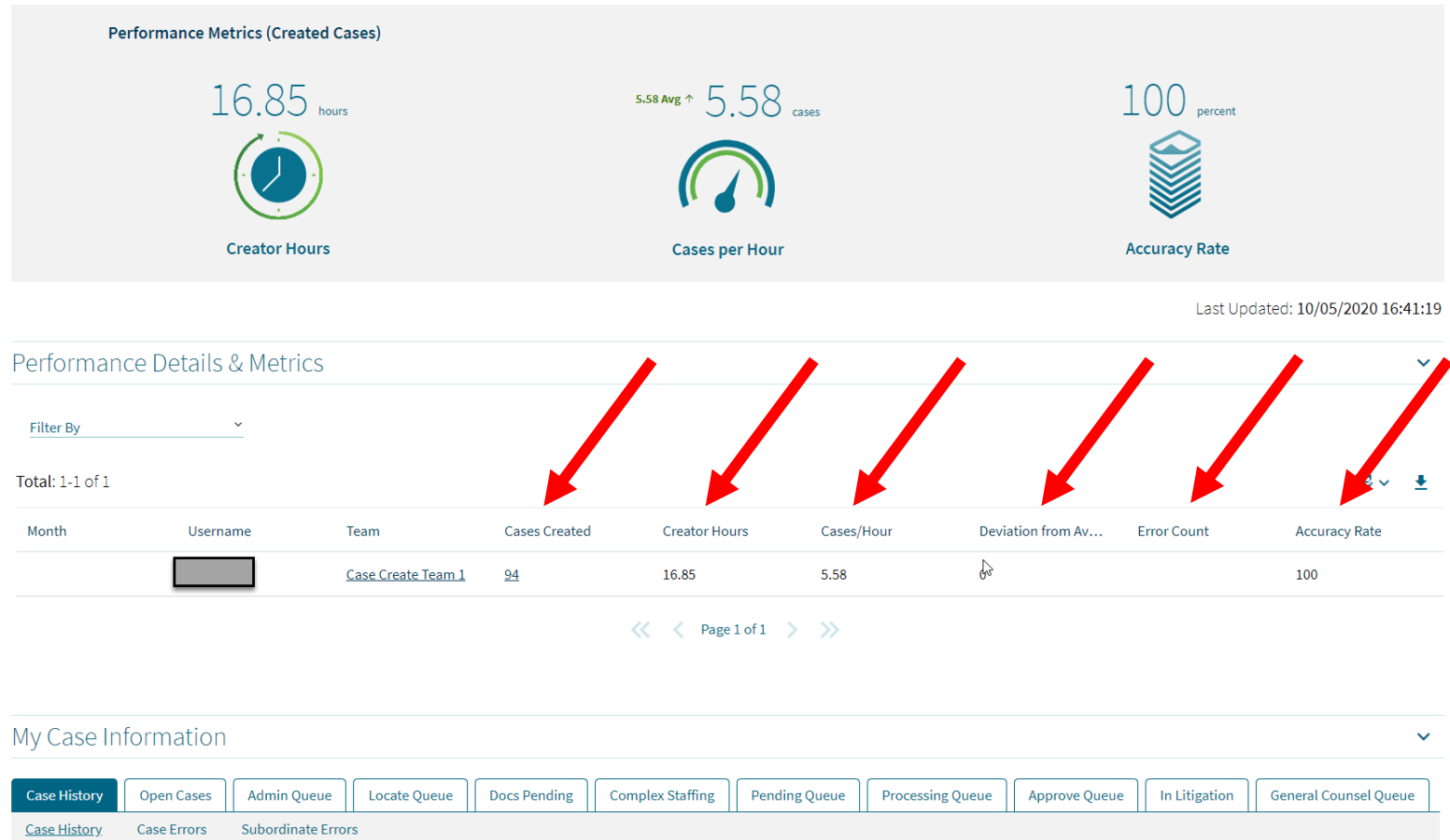
Case History | Case Errors | Subordinate Errors

Filter By

Performance Details & Metrics – Case Creators



- Cases Created
- Creator Hours
 - Related to Cases Created
- Cases/Hour
 - = Cases Created/Creator Hours
- Deviation From Avg. Pages Per Hour
 - + or – PPH from Department Avg.
- Error Rate
 - Assessed at the Time Error Was Found
- Accuracy Rate
 - = 100% - Error Count/Cases Created %



Case Details – Case Creators



Key Data:

- Control Number
- Created Date
- Time Spent
- Records Requested
- Sent to Up Front Close
- Current State of Case

Control Nu...	Created	Creator	Time Spent	Records Re...	SIG Staffings	Up Front C...	Current State
PRD2020	10/05/2020 1...		55:56	0	0	false	Case Processor
PRD2020	10/05/2020 1...		03:36	0	0	false	Case Processor
PRD2020	10/05/2020 1...		01:47	0	0	false	Administrator
PRD2020	10/05/2020 1...		09:35	0	0	false	Administrator
PRD2020	10/05/2020 1...		01:32	0	0	false	Administrator
PRD2020	10/05/2020 1...		01:03	0	0	false	Administrator
PRD2020	10/05/2020 1...		02:04	0	0	false	Administrator
PRD2020	10/05/2020 1...		00:59	0	0	false	Administrator
PRD2020	10/05/2020 1...		00:58	0	0	false	Administrator
PRD2020	10/05/2020 1...		01:01	0	0	false	Administrator



Performance Details & Metrics – Processors

- Pages Processed
- Processing Hours
 - Related to Cases Closed
- Pages/Hour
 - =Pages Processed/ Processing Hours
- Deviation From Avg. Pages Per Hour
 - + or – PPH from Department Avg.
- Cases Closed
- Open Cases
- Accuracy Rate
 - = 100% - Error Count/Cases Closed %

Last Updated: 10/05/2020 16:22:01

Performance Details & Metrics

Filter By

Total: 1-10 of 13



Month	Username	Contractor	Team	Track	Pages Pro...	Processin...	Pages/Hour	Deviation ...	Cases Clo...	Open Cases	Error Count	Accuracy ...
10/2020		false	Case Create...	Track 1	0	0						
09/2020		false	Case Create...	Track 1	0	0						
08/2020		false	Case Create...	Track 1	0	0						
07/2020		false	Case Create...	Track 1	0	0						
06/2020		false	Case Create...	Track 1	0	0						
05/2020		false	Case Create...	Track 1	0	0						
04/2020		false	Case Create...	Track 1	0	0						
03/2020		false	Case Create...	Track 1	0	0						
02/2020		false	Case Create...	Track 1	2082	20.68	100.66	-136.19	23			100
01/2020		false	Case Create...	Track 1	22044	98.92	222.84	-14.01	134	3		100

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My Case Information

Case Details – Processors – Closed Cases



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Key Data:

- Control Number
- Closed Date
- Track
- Pages Processed
- Time Spent
- Pages Per Hour
- Overtime, Yes/No

Performance Details

Filter By

Total: 1-10 of 13

Month	Username
03/2020	dwjones1
04/2020	dwjones1
05/2020	dwjones1
06/2020	dwjones1
07/2020	dwjones1
08/2020	dwjones1
09/2020	dwjones1
10/2020	dwjones1
02/2020	dwjones1
10/2019	dwjones1

My Case Information

Performance Details

CASE DETAILS

Total: 1-10 of 59

Control Nu...	Closed	Processor	Track	Pages Proc...	Time Spent	Pages/Hour	Overtime
NRC20...	10/30/2019 0...		Track 1	83	47:03	105.84	
NRC20...	10/28/2019 0...		Track 1	410	1:13:31	334.62	
NRC20...	10/29/2019 1...		Track 1	381	1:05:12	350.61	
NRC20...	10/31/2019 0...		Track 1	127	1:04:40	117.84	
NRC20...	10/31/2019 1...		Track 1	55	1:31:30	36.07	
NRC20...	10/30/2019 0...		Track 1	146	48:32	180.49	
NRC20...	10/31/2019 0...		Track 1	216	38:56	332.88	
NRC20...	10/30/2019 1...		Track 1	1161	35:23	1968.72	
NRC20...	10/30/2019 1...		Track 1	92	34:16	161.09	
NRC20...	10/31/2019 0...		Track 1	147	1:08:52	128.07	

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CLOSE

Case Details – Processors – Closed Cases



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Key Data:

- Control Number
- Started Processing Date
- Current State
- Last Status Change
- Total Pages

CASE DETAILS

Total: 1-9 of 9

Control ...	Started ...	Track	Closed	Processor	Current State	Last Stat...	Total Pages	Overt
GEN20200...	10/05/202...	Track 1			Administrator	2020-10-0...	37	
GEN20200...	10/05/202...	Track 1			Case Approver	2020-10-0...	3	
GEN20200...	10/05/202...	Track 1			Case Approver	2020-10-0...	2	
GEN20200...	10/05/202...	Track 1			Case Approver	2020-10-0...	6	
GEN20200...	10/05/202...	Track 1			Case Approver	2020-10-0...	4	
GEN20200...	10/05/202...	Track 1			Case Approver	2020-10-0...	3	
GEN20200...	10/05/202...	Track 1			Case Approver	2020-10-0...	3	
GEN20200...	10/05/202...	Track 1			Case Approver	2020-10-0...	7	
GEN20200...	10/05/202...	Track 1			Case Approver	2020-10-0...	3	

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CLOSE

Metrics are Balanced Across System



Key Data:

- Charts and Supporting Metrics are balanced
- Allows quick access in collapsed view.

