

FPS Instruction Manual 15.4.4.1-01

Employee Performance Management Program



**Department of Homeland Security
Federal Protective Service
Office of the Deputy Director for Resource Management**

(b) (6)

Deputy Director, Resource Management

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1.0 Performance Planning Process

FPS Directive 15.4.4.1, "Employee Performance Management," establishes FPS policy and assigns responsibilities for the FPS Employee Performance Management Program. The objective of the Program is to support the accomplishment of the DHS and FPS organizational goals by promoting and sustaining a high-performance culture.

Rating officials must formally appraise each employee annually.

The 12-month time period (October 1 through September 30) is the established reviewing and rating period for employee performance. There are three mandatory progress review periods within the performance cycle:

- Initial Performance Plan Acknowledgement – No later than November 1
- Mid-Cycle Progress Review – No later than May 1
- Performance Appraisal Close-out – No later than October 30

2.0 Establish a Performance Plan

The performance plan, comprised of core competencies and performance goals (i.e., critical elements), identifies the specific performance standards for which the employee is held accountable.

Within 30 days of the beginning of the performance appraisal cycle, detail or a temporary promotion expected to last more than 90 days, or upon entry into a new position, a written Performance Plan is developed and then submitted to the employee. The performance plan template contains the following sections:

- Employee Information
- Core Competencies
- Performance Goals
- Performance Plan Acknowledgement and Comments

2.1 Core Competencies

There are specific core competencies for all employees that Rating Officials use in appraising performance. They are listed in the performance plan along with a performance standard that is used when evaluating employee performance. Demonstration of these core competencies accounts for 40 percent of the employee's annual Rating of Record (with the remaining 60 percent derived from performance on goals). Rating Officials shall engage in discussions with employees to establish a common understanding of the pre-established core competencies and their associated performance standards for the individual employee. The specific core competencies and their performance standards are:

- Technical Proficiency
- Customer Service (except positions in the General Schedule (GS) 1811 series)
- Teamwork/Cooperation
- Communication
- Representing the Agency
- Assigning, Monitoring, and Evaluating Work (Managers and Supervisors only)
- Leadership (Managers and Supervisors only)

The pre-established, Department-wide core competency performance standards are based on occupational type and level of work and are described on the performance plan template (Appendix A) at the Achieved Expectations and Achieved Excellence ratings for each competency. Rating Officials use these performance standards when evaluating employee performance on these competencies.

2.2 Performance Goals

Performance goals describe what the employee is expected to accomplish during the performance rating cycle. Each individual employee performance goal aligns with the Rating Official's goals or objectives, organizational goals, and the Department's Strategic Plan. Performance on Goals account for 60 percent of the final Rating of Record (the remaining 40 percent of the final Rating of Record is derived from the core competencies).

Rating Officials should obtain input from, and engage in discussions with employees, regarding specific Performance Goals and related Performance Standards for which employees are held accountable. Rating Officials may develop performance goals and performance standards at the time the goals are identified but, to the extent practicable, should involve their employees in the process.

The performance standards associated with each goal:

- May include quality, quantity, timeliness, manner of performance;
- Are defined at both the "Achieved Expectations" and the "Achieved Excellence" levels;
- Have sufficient difference between those two levels to accommodate a rating of Exceeded Expectations as well as a minimum expected standard that must be achieved to not receive a rating of Unacceptable; and
- Provide metrics used to evaluate employee progress in achieving the goals identified in the performance plan.

Rating Officials assign a percentage to each goal for a total of 100 percent for all goals in the employee's performance plan. In assigning percentages to goals, the Rating Official should

consider the scope of the goal, the amount of time expected to be devoted to accomplishment of the goal, and the impact to accomplishment of the Rating Official's goals or objectives, as well as the organization's mission.

Following is an example of how a performance goal and standards may be written. (Actual goals and standards may differ as employee Performance Plans change or organizational requirements are determined)

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

PSO Management: Conduct Post Inspections and other PSO oversight and training activities to ensure the effectiveness of the PSO workforce.

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

QHSR Mission 1 – Preventing Terrorism and Enhancing Security

QHSR Goal 1.3 – Manage risks to critical infrastructure, key leadership and events

NPPD Goal – Protect and strengthen the resilience of the nation's critical infrastructure and ensure the integration of the private sector as a partner in this effort

FPS Strategic Goal 1- Protect Federal facilities, their occupants, and visitors while facilitating the conduct of government business

FPS Strategic Goal 4 - Support operations with risk-based and accountability focused management and oversight

Achieved Expectations: In order to meet Expectations, all of the following must be completed within your assigned portfolio and in accordance with current applicable policy.

- 1) Complete 96% of assigned Post Visits & Post Inspections and record the inspections in EIS within 24 hours.
- 2) Address any observed deficiencies and make on-the-spot corrections.

Achieved Excellence: In addition to meeting Expectations, Exceeded Expectations can be achieved by meeting ONE (1) of the following. Excellence can be achieved by meeting 66% or more of the following; alternatively, the Rating Official shall provide written justification of Achieved Excellence.

- 1) Collaborate with the PSOPM and/or COR to provide at least TWO (2) PSO trainings to include, but not be limited to, on-the-spot training and provide documentation.
- 2) Complete 98% of PSO Post Visits & Inspections and ensure the inspections are properly documented and recorded in EIS; and/or perform any other PSO contract performance monitoring activities.
- 3) Participate in ONE (1) collaborative effort (Integrated Project Team, Working Group, Committee, Special Project, etc.) with internal and/or external members and provide briefing to RPF Leadership.

Weight: 20%

Comments (If appropriate):

2.3 Review and Approval of Performance Plans

Once the Rating Official has established the performance goals for the year, and completed the Performance Plan template, it is then sent to the Reviewing Official to review and approve the subordinate employees' Performance Plans to ensure consistent compliance with policy and procedures established by the Program. The Reviewing Official's review occurs prior to the Rating Official providing the performance plan to the employee and discussing expected performance as described in the performance standards for each goal and competency in the employee's performance plan. After the Approving Official has reviewed the employee's performance plan, they will then sign the plan and return it to the Rating Official so that they may formally sit down and sign the performance plan.

2.4 Changes and Special Situations

Changes may be made to employee's performance plans in certain circumstances such as:

- To reflect new organizational goals or management priorities;

- Changes to supervisory goals that have been cascaded down into the employee's plan; or
- Update goals and standards when outside influences beyond an employee's control make the original goals and standards unachievable.

Rating Officials must document the changes in the employee's performance plan and communicate the updated performance plan to the employee. If any aspect of an employee's performance plan is changed within the last 90 days of the formal rating cycle, the Rating Official may extend, under certain circumstances, the employee's appraisal period to allow for the required minimum 90 days to accrue under the amended performance plan before a final review and Rating of Record is executed. Rating Officials are to consult with the FPS Workforce Planning Division for additional guidance on situations involving changes to performance plans during the last 90 days of the formal appraisal cycle.

Provided below are some, but not all, special performance management and appraisal situations. FPS Workforce Planning Division will provide guidance at the initial, mid-cycle and close-out points of the performance year.

- Changes in Position. Employees affected by a change in position are placed on a new written performance plan by their new supervisor that identifies performance expectations for which employees are to be held accountable. Changes in position may include reassignment, demotion, promotion, etc.
- Detail Assignments. An employee, on a detail expected to last more than 90 days, receives a performance plan for the period of the detail, from the supervisor of the detail. At the end of the detail, the detail supervisor provides the employee's supervisor of record, an interim rating of the employee's performance while on the detail, which is considered in preparing the employee's summary Rating of Record. An employee on a detail expected to last less than 90 days, is not required to receive a formal performance plan. The detail supervisor should provide to the employee, a documented statement of expected performance (e.g., through e-mail, memo, etc.). At the end of the detail, the detail supervisor provide input (e.g., by e-mail, memo, etc.) on the employee's performance during the detail, to the employee's supervisor of record, which is considered in preparing the employee's summary Rating of Record.
- Temporary Promotions. Employees who are expected to be temporarily promoted for 90 days or more are placed on a formal written performance plan by the temporary promotion supervisor, which identifies performance goals and core competencies (critical elements) for which the employee is held accountable during the temporary promotion. At the end of the temporary promotion, the temporary promotion supervisor provides an interim rating to the supervisor of record on the employee's performance during the temporary promotion. This documented interim rating is considered by the employee's Rating Official of record when preparing the employee's final or summary Rating of Record for the performance period.

If the temporary promotion is for less than 90 days, there is no requirement for the employee to receive a formal written performance plan from the temporary promotion supervisor. The temporary promotion supervisor provides input (e.g., e-mail, memo, statement of performance expectations, etc.) to the employee's Rating Official of record

that is considered when preparing the employee's final or summary Rating of Record.

- Changes in Supervisor. Employees operating under performance plans for the minimum 90 days, and whose supervisors change, will receive an interim rating from the departing supervisor. The new supervisor may either re-validate the employee's current performance plans or determine to issue new performance plans.
- Transfers. Employees operating under performance plans for the minimum 90 days that transfer to another Federal agency (i.e., leaving FPS for a position at the Department of Commerce) during the appraisal cycle are entitled to an early review and Rating of Record prior to the end of the cycle. This is the only circumstance that allows employees to receive an early Rating of Record prior to conclusion of the formal performance appraisal cycle.

3.0 Progress Reviews

During the employee's appraisal period, Rating Officials are required to continuously monitor employee performance, and provide feedback on employee work efforts to accomplish the goals and the demonstration of the competencies contained in the employee's performance plan. Non-mandatory Progress Review discussions between Rating Officials and employees on individual performance can be documented by signatures of the Rating Official and the employee on the performance plan. Non-mandatory Progress Reviews are not Interim Ratings or summary Ratings of Record and no rating levels are assigned.

3.1 Required Progress Reviews

One mandatory (5 CFR § 430.207) progress review is required at approximately the mid-point (no later than May 1st) of the employee's appraisal period, referred to as a mandatory Mid-cycle Progress Review. Mandatory Mid-cycle Progress Reviews focus on performance during the first half of the employee's appraisal period. During this documented review, goals and their performance standards are reviewed and may be changed, if necessary. Employees on detail at the mid-cycle point receive a Mandatory Mid-cycle progress review from their supervisor of record. The detail supervisor can provide input to the employee's supervisor of record through formal written comments to assist in this process.

3.2 Documentation of Progress Reviews

Mandatory mid-cycle Progress Review discussions between Rating Officials and employees on individual performance are documented by signatures of the Rating Official and the employee in the performance plan. Mandatory Mid-cycle Progress Reviews do not require comments, are not Interim Ratings or Ratings of Record, and no rating levels are assigned.

3.4 Self-assessment

Rating Officials should encourage employees to complete self-assessments of their performance as measured against the established goals and competency performance standards documented in their Performance Plan prior to both the mandatory mid-cycle progress review and the completion of the final review and summary Rating of Record. Completion of employee self-assessments is voluntary, and supervisors may not require employees to complete self-

assessments. Self-assessments that are submitted by employees are considered by Rating Officials when conducting performance reviews with employees, and in preparing the summary Rating of Record.

3.5 Dealing with Unacceptable Performance

If during any non-mandatory or mandatory progress reviews, determinations by the Rating Official indicate that an employee's performance has fallen below the "Achieved Expectations" rating level in any of the goals or competencies in the employee's work plan, Rating Officials are to contact the appropriate Employee Labor Relations Office for additional guidance.

Prior to deciding on an appropriate course of action for dealing with an employee's unacceptable performance, a Rating Official consults with an employee and labor relations office for advice and guidance.

Determination of Unacceptable Performance. At any time during the performance appraisal cycle when a Rating Official determines that an employee's performance is Unacceptable, appropriate remedial action is taken to address the performance deficiency; that is, performance deficiencies are addressed as early as possible. The supervisor should take into account all the circumstances involved, including the nature and gravity of the unacceptable performance and its consequences, the extent to which the deficiencies may be caused by factors outside of the employee's control, and any other relevant factors. It is also appropriate to provide the employee with information about the Department's Employee Assistance Program (EAP) as described in DHS' Directive 254-02, Employee Assistance Program.

- The supervisor's employee relations or labor relations specialist advises on the options available to the supervisor to address unacceptable performance (e.g., training, coaching, Performance Improvement Period/Plan (PIP)).
- A proposed reduction-in-grade or proposed removal action for unacceptable performance can only be taken after the employee has been given an opportunity to demonstrate acceptable performance.
- Opportunity to Demonstrate Acceptable Performance (prior to a proposed reduction-in-grade or removal action for Unacceptable performance): At any time during the performance appraisal cycle that an employee's performance is determined to be Unacceptable in one or more critical elements (goals or competencies), the employee is notified of the critical element(s) for which performance is Unacceptable and of the performance standards or requirement(s) to be attained in order to demonstrate acceptable performance. This notification is normally accomplished through a formally documented Performance Improvement Plan that provides the employee a specified period of time (Performance Improvement Period) in which to raise his or her performance. Unless the employee's performance in the critical element(s) improves to and is sustained at an acceptable level, the employee may be reduced-in-grade or removed from Federal service.

4.0 Performance Evaluations

4.1 Information to be Considered by Rating Officials

Rating Officials consider employee self-assessments and other relevant information (such as Progress Reviews or Interim Ratings) regarding performance when rating each performance goal and core competency in the employee's performance plan. The Rating Official uses the rating levels below to rate the employee's performance on each applicable goal and core competency to arrive at the employee's final or summary Rating of Record for the appraisal period:

Achieved Excellence (Overall Score 4.50 – 5.00): The employee performed as described by the "Achieved Excellence" standard.

Exceeded Expectations (Overall Score 3.50 – 4.49): The employee performed at a level between the "Achieved Excellence" and "Achieved Expectations" standards.

Achieved Expectations (Overall Score 3.00 – 3.49): The employee performed as described by the "Achieved Expectations" standard.

Unacceptable: The employee performed below the "Achieved Expectations" standard; corrective action is required.

4.2 Completion of Interim Ratings

Under certain circumstances (i.e., details lasting over 90 days, temporary promotions lasting over 90 days, etc.) supervisors will prepare Interim Ratings. Rating Officials should consult with the FPS Workforce Planning Division for guidance as to when Interim Ratings are to be prepared and delivered to employees. Interim Ratings are considered by employees' supervisors of record when final or summary Ratings of Record are prepared after conclusion of the formal appraisal cycle or the employee's appraisal period.

4.3 Completion of Ratings of Record

Rating Officials will complete Ratings of Record within 30 days after the end of the formal appraisal cycle or the employee's appraisal period, except as otherwise provided in this Instruction. Rating Officials should encourage employees to provide self-assessments prior to completing summary Ratings of Record. Rating Officials submit proposed Ratings to Reviewing Officials for approval before discussing and issuing to employees. Ratings of Record are 'final' when issued to employees.

4.3.1 Extension of Employee Appraisal Period

The employee's appraisal period may be extended for up to 90 days after the conclusion of the Agency's formally established performance cycle when warranted by certain circumstances. Rating Officials are to consult with the FPS Workforce Planning Division for additional guidance on situations and circumstances that warrant extension of employee appraisal periods beyond agency formal appraisal cycles. Examples of certain circumstances include, but are not limited to, the following situations:

- The employee has not met the 90-day minimum rating period at the end of the appraisal cycle;
- The Rating Official has not supervised the employee for a period of time that gives the official sufficient familiarity with the employee's performance to prepare a rating; or
- To give an employee whose performance has been found to be unacceptable an opportunity to demonstrate acceptable performance. The Rating Official consults with the employee and labor relations specialists to discuss options under this circumstance.
- When warranted by very rare circumstances, an employee appraisal period may be further extended beyond 90 days after the conclusion of the Agency's established performance cycle, only with approval of the DHS Chief Human Capital Officer. Examples of very rare circumstances include employees on extended sick leave and/or military deployment.

4.3.2 Rating of Record

A Rating of Record is based only on the evaluation of actual job performance (performance plan goals and competencies) described on the performance plan for the designated appraisal period.

4.3.3 No Retroactive Ratings of Record

When either the regular annual appraisal cycle or an individual employee's extended appraisal period ends and any agency-established deadline for providing Ratings of Record passes, or a subsequent Rating of Record is issued, an agency cannot produce or change retroactively, a Rating of Record that covers that earlier appraisal period, except that a Rating of Record may be changed:

- Within 60 days of issuance based upon an informal request by the employee;
- As a result of a grievance, complaint, or other formal proceeding permitted by law or regulation that results in a final determination by appropriate authority that the Rating of Record are changed, or as part of a bona fide settlement of a formal proceeding; or
- Where it is determined that a Rating of Record was incorrectly recorded or calculated.

4.4 Summary Rating of Record (of Overall Performance)

The summary Rating of Record of an employee's overall performance is derived by using the performance levels assigned to each performance goal and core competency, as follows:

- Individual Performance Goals (account for 60 percent of the overall summary rating): The performance level assigned to each goal is multiplied by the assigned weight for that goal. The sum of these calculations is multiplied by 60 percent to determine the subtotal for the goals(s) in the employee's performance plan. The total is rounded to the nearest one-hundredth, e.g., 3.447 is rounded up to 3.45, while 3.443 is rounded down to 3.44.
- Core Competencies (account for 40 percent of the overall summary rating): The performance level assigned to each competency is multiplied by the assigned weight. The sum of these calculations is multiplied by 40 percent to determine the subtotal for competencies. The total is

rounded to the nearest one-hundredth, e.g., 3.447 is rounded up to 3.45, while 3.443 is rounded down to 3.44. (See Appendix C: Example of Ratings Calculations.)

Sub-total of ratings for performance goals and core competencies are added together to obtain the employee's summary rating of overall performance. The summary rating is then converted into the applicable summary rating of record level as determined by the 4-level design. If performance on one or more competency or goal (critical element) is rated Unacceptable, the employee's summary Rating of Record is Unacceptable. Written justification is required to support a summary Rating of Record above or below Achieved Expectations. Rating Officials consults with the Employee and Labor Relations Office before delivering an Unacceptable rating to an employee.

4.5 Rating of Record Disputes

Employees are encouraged to informally resolve concerns over their summary Ratings of Record with their Rating and/or Reviewing Officials. If the concerns remain unresolved, employees may pursue appropriate dispute resolution processes:

- **Bargaining unit employees** may grieve a final Rating of Record through a negotiated grievance procedure where an applicable procedure exists and covers such grievances. Where this is not the case, a bargaining unit employee may grieve the final Rating of Record through an applicable administrative grievance procedure.
- **Non-bargaining unit employees** may grieve a Rating of Record through an applicable administrative grievance procedure.
- **Equal Employment Opportunity** procedures are available to all employees believing they have been the subject of discrimination on the basis of a protected class. Any employee who believes his or her Rating of Record was based on unlawful discrimination contacts the EEO Office within 45 days of receipt of the rating, or from the date he or she learned of the alleged discrimination, whichever occurred earlier.

4.6 Transfer of Ratings

The three most recent Ratings of Record, including the performance plans on which the ratings are based within the last four years, are transferred when an employee is reassigned within DHS or transferred to another Federal agency outside of DHS.

4.7 Performance-related Personnel Actions

An employee's annual, summary Rating of Record is used as a basis for taking appropriate personnel actions, including:

- **Within-grade increase determinations:** To be eligible for a within-grade increase, an employee's most recent Rating of Record is at least "Achieved Expectations" (level 3).
- **Quality Step Increases:** To be eligible for a Quality Step Increase (QSI), an employee's most recent Rating of Record is "Achieved Excellence" (level 5) and meet other relevant criteria (5 CFR Part 531).

- **Pay determinations:** Ratings of Record may be used in pay determinations under applicable laws or regulations.
- **Reduction-in-Force:** Ratings of Record are used during Reductions-In-Force (RIF) as provided in 5 CFR Part 351.
- **Promotions:** Ratings of Record are given due weight consistent with applicable laws or regulations in making selection and/or promotion decisions (5 CFR § 335.103 (c) (3)).
- **Awards:** Ratings of Record are used, consistent with applicable Federal award and recognition laws and regulations contained in 5 CFR Part 451 and prevailing Department-wide Policy, as a basis for determining whether to grant individual cash and/or time off awards.
- **Other purposes:** Ratings of Record are used for other purposes consistent with governing law and regulations (including Directives and Instructions, and other policies of the Department), as well as negotiated agreements.

APPENDIX A

EMPLOYEE COVERAGE

A. The following employees are eligible for coverage:

1. Employees of FPS who are covered by 5 USC Chapter 43, "Performance Appraisal," except as excluded below.

B. The following employees are excluded from coverage:

(Employees not covered by this program may be covered by other policy or procedures that apply to different categories of employees. Please contact the Workforce Planning Division for information on employees not covered by this Program Instruction.)

1. Employees excluded pursuant to 5 USC § 4301(2):
 - a) an employee outside the United States who is paid in accordance with local native prevailing wage rates for the area in which employed.
 - b) an administrative law judge appointed under 5 USC § 3105.
 - c) an individual in the Senior Executive Service.
 - d) an individual appointed by the President.
 - e) an individual occupying a position not in the competitive service excluded from coverage by regulations of the OPM.
 - f) an individual who (i) is serving in a position under a temporary appointment for less than one year, (ii) agrees to serve without a performance evaluation, and (iii) not be considered for a reappointment or for an increase in pay based in whole or in part on performance.
2. Employees who are not expected to be employed longer than the 90-day minimum period.
3. Members of the uniformed military services.
4. Employees in Executive Schedule positions.
5. Senior Level (SL) and Scientific and Professional (ST) employees hired under 5 CFR Part 319.

Sample Performance Plan

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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			
Start - End Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
	GS	1801	12
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
DHS/FPS	Inspector (LESO)		
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
DHS/FPS		Area Commander	
Organization	Position Title		
Reviewing Official Information			
Last Name	First Name	Middle Initial	
DHS/FPS		District Commander	
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

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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.

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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):

Protection: Enhance the protection of Federal facilities, their occupants, and visitors while facilitating the conduct of government business. This protection goal will be met through a comprehensive set of law enforcement and physical security strategies focused on providing a broad range of FPS services to customer agencies, tenants, and the visiting public.

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal aligns:
Quadrennial Homeland Security Review (QHSR) Mission 1 – Preventing Terrorism and Enhancing Security
QHSR Goal 1.3.4 – Protect government leaders and special events
NPPD Goal – Protect and strengthen the resilience of the nation's critical infrastructure and ensure the integration of the private sector as a partner in this effort
FPS Strategic Goal 1- Protect Federal facilities, their occupants, and visitors while facilitating the conduct of government business

Achieved Expectations:

In order to meet Expectations, all of the following must be completed within your assigned portfolio and in accordance with current applicable policy.

- 1) Participate in a minimum of SIX (6) stakeholder meetings or trainings per quarter, such as Active Shooter Awareness Training, security awareness training, and other stakeholder training activities.
- 2) Respond to calls for service and complete required reports, such as form 3155, within 24 hours of an incident.
- 3) Provide peer guidance/mentoring to Inspectors on at least a quarterly basis and provide evidence in writing of activities performed (e.g., Shared Drive, Email, other preferred method).
- 4) Assist Area Commander with the planning of, and/or participate in FOUR (4) Operation Shields.
- 5) Maintain all mandatory Law Enforcement qualifications (i.e. Weapons) and certifications as a condition of employment and in accordance with FPS policy.
- 6) Meet twice a year with Area Commander to provide ONE (1) written recommendation per meeting on the peer guidance/mentoring process.

Achieved Excellence:

In addition to meeting Expectations, Exceeded Expectations can be achieved by meeting ONE (1) of the following. Excellence can be achieved by meeting 75% or more of the following; alternatively, the Rating Official shall provide written justification of Achieved Excellence.

- 1) Present a case for prosecution by providing a properly completed comprehensive police report approved by the Rating Official to an AUSA or other prosecuting authority.
- 2) Participate in at least THREE (3) additional advanced trainings (e.g., DHScovery, NPPD Professional Development opportunities, External opportunities or FLETC advanced training) and provide evidence, in writing, of completion.

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3) Take on collateral duties such as Field Training Inspector, Firearms Instructor, Defensive Tactics Instructor and provide evidence in writing of duties performed (e.g., EIS, Shared Drive, Email, other preferred method).

4) Coordinate with Area Commander to support budget development activities and provide evidence in writing of activities performed (e.g., EIS, Shared Drive, Email, other preferred method).

Weight: 25%

Comments (If appropriate):

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

PSO Management: Conduct Post Inspections and other PSO oversight and training activities to ensure the effectiveness of the PSO workforce.

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

QHSR Mission 1 – Preventing Terrorism and Enhancing Security

QHSR Goal 1.3 – Manage risks the critical infrastructure, key leadership and events

NPPD Goal – Protect and strengthen the resilience of the nation's critical infrastructure and ensure the integration of the private sector as a partner in this effort

FPS Strategic Goal 1- Protect Federal facilities, their occupants, and visitors while facilitating the conduct of government business

FPS Strategic Goal 4 - Support operations with risk-based and accountability focused management and oversight

Achieved Expectations:

In order to meet Expectations, all of the following must be completed within your assigned portfolio and in accordance with current applicable policy.

1) Complete 96% of Post Inspections and record the inspections in EIS within 24 hours.

2) Address any observed deficiencies and make on-the-spot corrections.

Achieved Excellence:

In addition to meeting Expectations, Exceeded Expectations can be achieved by meeting ONE (1) of the following. Excellence can be achieved by meeting 75% or more of the following; alternatively, the Rating Official shall provide written justification of Achieved Excellence.

1) Collaborate with the PSOPM and/or COR to provide at least TWO (2) PSO trainings to include, but not be limited to, on-the-spot training and provide documentation.

2) Complete 98% of PSO Post Inspections and ensure the inspections are properly documented and recorded in EIS; and/or perform any other PSO contract performance monitoring activities.

3) Participate in ONE (1) collaborative effort (Integrated Project Team, Working Group, Committee, Special Project, etc) with internal and/or external members and provide briefing to Regional Leadership.

Weight: 25%

Comments (If appropriate):

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

Facility Security Assessments (FSA): Conduct FSA utilizing the Modified Infrastructure Survey Tool (MIST) in accordance with policy and standard operating procedures. Present the results of the FSA to the appropriate Facility Security Committee in accordance with the Interagency Security Committee (ISC) standard and FPS policy.

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

QHSR Mission 1 – Preventing Terrorism and Enhancing Security

QHSR Goal 1.3 – Manage risks the critical infrastructure, key leadership and events

NPPD Goal – Protect and strengthen the resilience of the nation's critical infrastructure and ensure the integration of the private sector as a partner in this effort

FPS Strategic Goal 1- Protect Federal facilities, their occupants, and visitors while facilitating the conduct of government business

FPS Strategic Goal 2 - Inform and enhance operations through engagement with stakeholders and the interagency community

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Achieved Expectations:

In order to meet Expectations, all of the following must be completed within your assigned portfolio and in accordance with current applicable policy.

- 1) Attend and participate in 95% of pre-scheduled FSC meetings.
- 2) Visit each assigned facility, at least once per quarter, to communicate with the property manager or Designated Official.
- 3) Conduct 96% of FSAs in accordance with the FSA Manual.
- 4) Present 96% of FSAs in accordance with the FSA Manual.
- 5) Conduct 96% of scheduled Facility Security Level determinations.

Achieved Excellence:

In addition to meeting Expectations, Exceeded Expectations can be achieved by meeting ONE (1) of the following. Excellence can be achieved by meeting 75% or more of the following; alternatively, the Rating Official shall provide written justification of Achieved Excellence.

- 1) Provide assistance regarding the FSC presentation preparation and FSA completion advice for other Inspectors.
- 2) Communicate quarterly with GSA Property Managers to ensure all assigned facilities are posted with current Rules and Regulations Governing Conduct on Federal Property, Title 41, CFR, Part 102-74, Subpart C.
- 3) Complete 98% of FSA's on time and with no returns for revision from the Regional office.
- 4) Attend and participate in greater than 98% of scheduled FSC meetings.

Weight: 25%

Comments (If appropriate):

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

Technical Countermeasures: Manage existing countermeasures in place in Federal facilities and facilitate the installation and implementation of new, upgraded or expanded countermeasures in those facilities.

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

QHSR Mission 1 – Preventing Terrorism and Enhancing Security

QHSR Goal 1.3 – Manage risks the critical infrastructure, key leadership and events

NPPD Goal – Protect and strengthen the resilience of the nation's critical infrastructure and ensure the integration of the private sector as a partner in this effort

FPS Strategic Goal 1- Protect Federal facilities, their occupants, and visitors while facilitating the conduct of government business

Achieved Expectations:

In order to meet Expectations, all of the following must be completed within your assigned portfolio and in accordance with current applicable policy.

- 1) Conduct functionality testing on all FPS-owned technical countermeasures at 96% of assigned facilities.
- 2) Submit repair requests or coordinate for repair of inoperable countermeasures within 24 hours of notification/incident for all major technical countermeasures at assigned facilities and in accordance with regional deadlines.

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3) Assist other Inspectors with at least TWO (2) FSC-approved technical countermeasure projects as authorized by the Area Commander.

4) Assist Area Commander in program management and annual review of technical countermeasures program and request feedback on performance.

Achieved Excellence: In addition to meeting Expectations, Exceeded Expectations can be achieved by meeting ONE (1) of the following. Excellence can be achieved by meeting 75% or more of the following; alternatively, the Rating Official shall provide written justification of Achieved Excellence.

1) Conduct functionality testing on all FPS-owned technical countermeasures at 98% of assigned facilities.

2) Research training opportunity to become advanced or specialized in a countermeasure subject area and present proposal to attend training to Area Commander.

Weight: 25%

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:

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Performance Plan Acknowledgements & Comments

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

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

Rating Official Signature _____ Date _____

Rating Official Comments:

I have discussed my performance plan with my Rating Official.

Employee Signature _____ Date _____

Employee Comments:

Mid-Cycle Review Acknowledgements

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

I certify that the mandatory formal mid-cycle progress review and discussion occurred.

Rating Official Signature _____ Date _____

Rating Official Comments:

Employee Signature _____ Date _____

Employee Comments:

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Progress Review Acknowledgements & Comments (optional)

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

A progress review discussion occurred.

Employee Signature _____ Date _____
Employee Comments:

Rating Official Signature _____ Date _____
Rating Official Comments:

Interim Evaluation Acknowledgements & Comments (as appropriate)

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

An Interim Evaluation discussion occurred.

Rating Official Signature _____ Date _____
Rating Official Comments:

Employee Signature _____ Date _____
Employee Comments:

Appendix C

**Summary Rating Calculator for 4-Level Design
Example for Non-Supervisors**
(This calculation is automatically computed by the Rating Calculator)

Performance Goals				
GOAL #	Brief Description	Weight	Performance Rating <i>(pick from list)</i>	Points <i>(auto populated)</i>
1	Performance Goal 1	25.00%	4 - Exceeded Expectations	1.000
2	Performance Goal 2	25.00%	3 - Achieved Expectations	0.750
3	Performance Goal 3	25.00%	4 - Exceeded Expectations	1.000
4	Performance Goal 4	25.00%	5 - Achieved Excellence	1.250
5				
6				
7				
8				
9				
10				
Total		100.00%	<= Weights must total 100%	4.000
Competencies				
Competency #	Brief Description <i>(copy competency name from Performance Plan)</i>	Weight <i>(auto populated)</i>	Performance Rating <i>(pick from list)</i>	Points <i>(auto populated)</i>
1	Communication	20.00%	5 - Achieved Excellence	1.000
2	Customer Service	20.00%	5 - Achieved Excellence	1.000
3	Representing the Agency	20.00%	4 - Exceeded Expectations	0.800
4	Teamwork & Cooperation	20.00%	5 - Achieved Excellence	1.000
5	Technical Proficiency	20.00%	5 - Achieved Excellence	1.000
6				
7				
8				
Total		100.00%		4.800
Rating Calculation				
Category	Points Earned	% of Rating	Points Toward Rating	
Performance Goals	4.000	60%	2.4	
Competencies	4.800	40%	1.92	
Total			4.32	
Rating of Record <i>(or Interim Rating, as appropriate)</i>				
Point Scale	Summary Rating Descriptions	Rating of Record <i>(or Interim Rating)</i>		
4.5 or more	Achieved Excellence	Exceeded Expectations		
3.5 - 4.49	Exceeded Expectations			
3.0 -3.49	Achieved Expectations			
< 3.0	Unacceptable			

Appendix D

**Summary Rating Calculator for 4-Level Design
Example for Supervisors**
(This calculation is automatically computed by the Rating Calculator)

Performance Goals				
GOAL #	Brief Description	Weight	Performance Rating <i>(pick from list)</i>	Points <i>(auto populated)</i>
1	Performance Goal 1	25.00%	4 - Exceeded Expectations	1.000
2	Performance Goal 2	25.00%	3 - Achieved Expectations	0.750
3	Performance Goal 3	25.00%	4 - Exceeded Expectations	1.000
4	Performance Goal 4	25.00%	5 - Achieved Excellence	1.250
5				
6				
7				
8				
9				
10				
Total		100.00%	<= Weights must total 100%	4.000
Competencies				
Competency #	Brief Description <i>(copy competency name from Performance Plan)</i>	Weight <i>(auto populated)</i>	Performance Rating <i>(pick from list)</i>	Points <i>(auto populated)</i>
1	Communication	14.29%	5 - Achieved Excellence	0.714
2	Customer Service	14.29%	5 - Achieved Excellence	0.714
3	Representing the Agency	14.29%	4 - Exceeded Expectations	0.571
4	Teamwork & Cooperation	14.29%	5 - Achieved Excellence	0.714
5	Technical Proficiency	14.29%	5 - Achieved Excellence	0.714
6	Assigning, Monitoring, and Evaluating Work	14.29%	5 - Achieved Excellence	0.714
7	Leadership	14.29%	5 - Achieved Excellence	0.714
8				
Total		100.00%		4.857
Rating Calculation				
Category	Points Earned	% of Rating	Points Toward Rating	
Performance Goals	4.000	60%	2.4	
Competencies	4.857	40%	1.942857143	
Total			4.34	
Rating of Record (or Interim Rating, as appropriate)				
Point Scale	Summary Rating Descriptions	Rating of Record (or Interim Rating)		
4.5 or more	Achieved Excellence	Exceeded Expectations		
3.5 - 4.49	Exceeded Expectations			
3.0 - 3.49	Achieved Expectations			
< 3.0	Unacceptable			

Employee Self-Assessment Form

EMPLOYEE SELF-ASSESSMENT FORM

SECTION 1: EMPLOYEE INFORMATION

Employee Name:	_____	Sub-Comp:	_____
Supervisor Name:	_____	Office:	_____
Performance Year:	_____	Date completed:	_____

SECTION 2: SELF-ASSESSMENT

Please attach additional sheets, if necessary.

1. What were your major achievements/accomplishments in the past year?
2. What measurable results (qualitative or quantitative) show how I met or accomplished my performance objectives?
3. Who are your primary customers and how well have you served them this past year?
4. How did the organization or others benefit from my accomplishments?
3. What are the areas of your performance (behaviors and results) on which you could improve? Please describe.
4. Are there additional skills or knowledge that would help you more effectively perform your present job or enhance your skill opportunities? If yes, please list.
5. What goals (specific measurable results) do you expect to accomplish during the next year?

List the subjects you would like to discuss during your annual performance evaluation meeting:

- 1.
- 2.
- 3.

NOTES: Provide a copy to your Supervisor