



DEPARTMENT OF HOMELAND SECURITY SENIOR EXECUTIVE SERVICE/TSES PERFORMANCE APPRAISAL PLAN—ADMINISTRATIVE INSTRUCTIONS

Overview: The DHS Performance Management Program encourages excellence in performance. It facilitates the accurate evaluation of performance based on results, provides for the systematic appraisal of performance, and a basis for merit-based pay adjustments, performance bonuses, development, retention, removal and other personnel decisions. The DHS executive performance system enhances the achievement of DHS goals by expecting and encouraging leadership excellence in individual and organizational performance while holding executives accountable for results. Both executives and their Rating Officials should actively participate in the entire performance appraisal process to ensure overall system effectiveness.

Name, Division, Rating Period

Identification of pertinent information about the executive being rated. The Rating period begins on October 1 each year, or the date of appointment to a DHS Executive position if after October 1 of the current performance cycle.

Performance Plan Development

Consultation: The Rating Official will develop, in consultation with the senior executive, achieving results performance goals that align with organizational strategic priorities. Performance goals should have a results-focused outcome, contain targets and measures, be written at the Achieved Expectations level, and balance the achievement or organizational goals with customer satisfaction, and other stakeholder/employee perspectives. The executive and Rating Official will sign and date the form to acknowledge that the consultation was conducted.

Progress Review

The Rating Official must hold a progress review for the executive at least once during the appraisal period. Necessary adjustments to the performance plan will be identified and any developmental experiences or resource needs will be discussed. The executive and Rating Official will sign and date under “Progress Review” to acknowledge that the review was conducted.

Annual Performance Review

Summary Rating Score: The summary rating is derived by calculating the results of the performance levels as follows:

- **Element 1 DHS Core Leadership Competencies (40% of the overall summary rating):** Rating Officials must provide a rating on their executive(s) for each competency. All competencies are weighted equally. The performance level assigned to this goal is multiplied by 40% to determine the subtotal for this section. The total will be rounded to the nearest one-tenth (e.g., using standard rounding, 22.45 is rounded up to 22.5; 22.44 is rounded to 22.4).
- **Element 2 Employee Specific Performance Objectives (60% of the overall summary rating):** The performance level assigned to each goal will be multiplied by the assigned weight. The sum of the calculation is multiplied by 60% to determine the subtotal for this section. The total will be rounded to the nearest one-tenth (e.g., using standard rounding, 22.45 is rounded up to 22.5; 22.44 is rounded to 22.4).



Rating Score: Subtotal ratings will be added together to obtain the overall summary rating. The numeric ratings will be converted into one of the five summary rating levels. If one or more performance goals is rated as Unacceptable, then the summary rating must be Unacceptable. An appraisal calculator is provided electronically to obtain the Overall Summary Rating. Instructions on using the calculator can be accessed by clicking on the “instructions” tab.

Rating Official’s Summary Rating: At the end of the appraisal period, the Rating Official and the executive being rated will discuss the actual individual and organizational achievements during the appraisal period. The Rating Official will assess performance based on meeting the goals indicated. When assessing individual performance, rating officials should take into consideration the performance of their organizational work unit. Organizational performance is captured in the Annual Performance and Accountability Report (PAR) and may also be found in other Component specific assessment tool(s). The initial summary rating will be documented by checking the appropriate block by the Rating Official. The executive being rated may request a higher-level review by checking the “Yes” box in this section. The five (5) summary performance levels are defined as follows:

- **Achieved Excellence (AE):** The executive is truly one of DHS’ most outstanding leaders. Performance demonstrated exceptional accomplishments or contributions to the Department’s mission. This equates to a performance level between 91 and 100.
- **Exceeded Expectations (EE):** Core leadership competencies and performance exceed what is normally expected. The executive performed at a level between Achieved Excellence standards and the Achieved Expectations standards. This equates to a performance level between 81 and 90.
- **Achieved Expectations (AX):** The executive satisfactorily achieved performance expectations. The executive performed as described by the Achieved Expectations standards. This equates to a performance level between 71 and 80.
- **Minimally Satisfactory (MS):** Core leadership competencies are below expectations and one or more Employee-Specific Performance Objectives were not met, resulting in negative impact to operations and/or programs. This equates to a performance level between 61 and 70.
- **Unacceptable (U):** Significant performance failures resulting in serious negative impact to operations and/or programs. This equates to a performance level below 61.

Higher-Level Review Certification

Higher-Level Review: This section is completed if the executive requests a higher-level review in the Rating Official’s Summary Rating section. The Higher-Level Reviewing Official must indicate his/her concurrence/non-concurrence and forward to the Performance Review Board (PRB). If non-concurrence is checked, written justification must be provided. The Higher-Level Reviewing Official may recommend a new performance rating to the PRB, Rating Official, or Component Head if he/she non-concurs.

Performance Review Board Certification (PRB Chairperson)

The PRB concurs or non-concurs with the Rating Official by checking the appropriate block. If the PRB concurs with a Higher-Level Reviewing Official, then the “Non-concur with Rating Official” block is checked and the comments attached should address the Board’s agreement with the Higher-Level Reviewing Official. The PRB



determination must be certified in writing by the PRB Chairperson, on the performance plan form. If non-concurrence is checked, written justification, signed by the PRB Chairperson, is required.

Annual Summary Rating – Component Head

Component Head Certification: The final annual summary rating as determined by the deciding official is recorded in this section. The signature of the deciding official appears under this section. For DHS Headquarters Component Heads, this determination is made by the Chair of the Executive Resources Council.

- **Organizational Performance Assessment and Review:** DHS Management Directive 1330, Planning Programming, Budgeting and Execution, assigns responsibility for “Providing independent evaluations of program execution through resource and performance reviews and program assessments.” DHS Component Performance Review Boards (PRB) and or, the Executive Resources Council (ERC) will review and monitor performance reports and customer satisfaction performance measures in the overall evaluation of senior executive performance in the Department.

I. Critical Elements

Element 1: DHS Core Leadership Competencies (40% of overall rating)

The DHS Core Leadership Competencies are mandatory for all DHS executives. The executive must be rated on each of the eight DHS Leadership Competencies that are all equally weighted. Rating Officials will record the goal rating in the section provided. The rating will be multiplied by .125 to attain the weighted score for each competency. The total weighted score accounts for 40% of the overall summary rating.

Element 2: Employee-Specific Performance Objectives (60% of overall rating)

Executives achieve results by meeting measurable objectives. Each executive must identify at least five measurable, critical objectives that need to be assessed in the performance plan. Employee-Specific Performance Objectives must align with organizational strategic priorities, have a results-focused outcome, contain targets and be measurable, be written at the Achieved Expectations level to ensure that strategic priorities are met. Objectives should also ensure that achievements of organizational objectives are balanced with customer satisfaction and other stakeholder/employee perspectives. Once performance objectives have been established, Rating Officials must assign a weight to each objective. In assigning weights, they should take into account the scope of the objective, the amount of time expected to be devoted to the objective and the importance of the work. The total Weight Factor must equal 100. Rating Officials will use these standards when evaluating the executive’s performance against these objectives. The Employee-Specific Performance Objectives account for 60% of the overall annual summary rating.

Overall Performance Assessment Narrative

Instructions provided on the Executive Performance Agreement Form. Section includes the following sub-sections:

- **Executive Self-Appraisal**
- **Rating Official Summary of Accomplishments**
- **Non-concurrence with rating official**